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**MATT BLUNT**

**SECRETARY OF STATE**

# MISSOURI REGISTER

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## IN THIS ISSUE:

### FROM THIS ANGLE . . . . .1887

#### EMERGENCY RULES

**Department of Social Services**  
Division of Medical Services . . . . .1889

#### PROPOSED RULES

**Department of Conservation**  
Conservation Commission . . . . .1891  
**Department of Social Services**  
Division of Medical Services . . . . .1904  
**Department of Insurance**  
Division of Consumer Affairs . . . . .1913

#### ORDERS OF RULEMAKING

**Department of Conservation**  
Conservation Commission . . . . .1927  
**Department of Economic Development**  
State Board of Pharmacy . . . . .1928  
**Department of Social Services**  
Missouri Board of Nursing Home Administrators . . . . .1929  
**Retirement Systems**  
The County Employees' Retirement Fund . . . . .1930

### IN ADDITIONS

**Department of Economic Development**  
Division of Credit Unions . . . . .1931  
**Department of Elementary and Secondary Education**  
Teacher Quality and Urban Education . . . . .1931  
**Department of Mental Health**  
Certification Standards . . . . .1932

**DISSOLUTIONS** . . . . .1934

### BID OPENINGS

**Office of Administration**  
Division of Purchasing . . . . .1936

**RULE CHANGES SINCE UPDATE** . . . . .1937  
**EMERGENCY RULES IN EFFECT** . . . . .1945  
**REGISTER INDEX** . . . . .1946

Register Filing Deadlines	Register Publication	Code Publication	Code Effective
June 1, 2001 June 15, 2001	<b>July 2, 2001</b> <b>July 16, 2001</b>	July 31, 2001 July 31, 2001	Aug. 30, 2001 Aug. 30, 2001
June 29, 2001 July 13, 2001	<b>Aug. 1, 2001</b> <b>Aug. 15, 2001</b>	Aug. 31, 2001 Aug. 31, 2001	Sept. 30, 2001 Sept. 30, 2001
Aug. 1, 2001 Aug. 15, 2001	<b>Sept. 4, 2001</b> <b>Sept. 17, 2001</b>	Sept. 30, 2001 Sept. 30, 2001	Oct. 30, 2001 Oct. 30, 2001
Aug. 31, 2001 Sept. 14, 2001	<b>Oct. 1, 2001</b> <b>Oct. 15, 2001</b>	Oct. 31, 2001 Oct. 31, 2001	Nov. 30, 2001 Nov. 30, 2001
Oct. 2, 2001 Oct. 16, 2001	<b>Nov. 1, 2001</b> <b>Nov. 15, 2001</b>	Nov. 30, 2001 Nov. 30, 2001	Dec. 30, 2001 Dec. 30, 2001
Nov. 1, 2001 Nov. 15, 2001	<b>Dec. 3, 2001</b> <b>Dec. 17, 2001</b>	Dec. 31, 2001 Dec. 31, 2001	Jan. 30, 2002 Jan. 30, 2002
December 3, 2001 December 17, 2001	<b>January 2, 2002</b> <b>January 16, 2002</b>	January 29, 2002 January 29, 2002	February 28, 2002 February 28, 2002
January 2, 2002 January 16, 2002	<b>February 1, 2002</b> <b>February 15, 2002</b>	February 28, 2002 February 28, 2002	March 30, 2002 March 30, 2002
February 1, 2002 February 15, 2002	<b>March 1, 2002</b> <b>March 15, 2002</b>	March 31, 2002 March 31, 2002	April 30, 2002 April 30, 2002

Documents will be accepted for filing on all regular workdays from 8:00 a.m. until 5:00 p.m. We encourage early filings to facilitate the timely publication of the *Missouri Register*. Orders of Rulemaking appearing in the *Missouri Register* will be published in the *Code of State Regulations* and become effective as listed in the chart above. Advance notice of large volume filings will facilitate their timely publication. We reserve the right to change the schedule due to special circumstances. Please check the latest publication to verify that no changes have been made in this schedule.

# Missouri Depository Libraries

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Maryville University Library 13550 Conway Road St. Louis, MO 63141-7232 (314) 529-9494	Law Library University of Missouri-Kansas City 5100 Rockhill Road Kansas City, MO 64110-2499 (816) 235-2438	Library State Historical Society of Missouri 1020 Lowry St. Columbia, MO 65201-7298 (573) 882-7083	Springfield-Greene County Library PO Box 737, 397 E. Central Springfield, MO 65801-0760 (417) 869-4621
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## HOW TO CITE RULES AND RSMo

**RULES**—Cite material in the *Missouri Register* by volume and page number, for example, Vol. 26, *Missouri Register*, page 27. The approved short form of citation is 26 MoReg 27.

The rules are codified in the *Code of State Regulations* in this system—

Title	Code of State Regulations	Division	Chapter	Rule
1	CSR	10-	1.	010
Department		Agency, Division	General area regulated	Specific area regulated

They are properly cited by using the full citation , i.e., 1 CSR 10-1.010.

Each department of state government is assigned a title. Each agency or division in the department is assigned a division number. The agency then groups its rules into general subject matter areas called chapters and specific areas called rules. Within a rule, the first breakdown is called a section and is designated as (1). Subsection is (A) with further breakdown into paragraph 1., subparagraph A., part (I), subpart (a), item I. and subitem a.

**RSMo**—Cite material in the RSMo by date of legislative action. The note in parentheses gives the original and amended legislative history. The Office of the Revisor of Statutes recognizes that this practice gives users a concise legislative history.



## **FROM THIS ANGLE....**

**Finally -- the date for the release of the Rulemaking Manual has arrived!!!**

Secretary Blunt will be presenting the new rulemaking manual, *Rulemaking 1-2-3, Missouri Style*, on Thursday, October 11, 2001, at 2:00 p.m. in the Interpretative Center here at Kirkpatrick State Information Center. Please plan to attend and receive your copy. So that we are certain to have enough manuals available, please call our main line at 573-751-4015 and advise if you will attend. We are *very* anxious to get the manual in your hands! Thanks for your patience -- this has been a tremendous undertaking by the Administrative Rules staff -- but we believe you will like what you see -- and believe it has been worth the wait!!

### **Why a different Publisher's Note?**

You will note we are now publishing a *new* publisher's note. The *new and improved language* is an attempt by our office to clear up a misunderstanding that seems to exist with some of our customers. Formerly we would receive many calls inquiring why we were not printing a rule in its entirety -- and where the same could be accessed -- when we were incorporating material by reference. In fact, the entire content of the rule *is* published -- it is the incorporated material that *is not* published in its entirety. The new publisher's note -- which is shown below -- is intended to clear up any misunderstanding in this regard.

*PUBLISHER'S NOTE: The secretary of state has determined that the publication of the entire text of the material which is incorporated by reference as a portion of this rule would be unduly cumbersome or expensive. Therefore, the material which is so incorporated is on file with the agency who filed this rule, and with the Office of the Secretary of State. Any interested person may view this material at either agency's headquarters or the same will be made available at the Office of the Secretary of State at a cost not to exceed actual cost of copy reproduction. The entire text of the rule is printed here. This note refers only to the incorporated by reference material.*

## **SUGGESTIONS, PLEASE!**

The next time you are in the office to file rules, please let us have your suggestions. As we strive to better serve you, we are always open to your suggestions! Please feel free to drop your suggestions in the "Suggestions Box" located at our front desk, and, either sign your name or leave your comment anonymously. We are here to help you and want to be attentive to your thoughts and suggestions.

## **Rule revisions???**

Were you aware that we can furnish you with an exact copy of your rule(s) as it appears in Code? Call us and we can send you an electronic e-mail copy; a copy on diskette, or a copy on CD -- your preference. We have found this to be a very helpful service for agencies. Many of our customers feel that utilizing the most current copy of their rule as it currently exists in Code eliminates confusion and makes their amendments, revisions, etc. go much smoother. Give us a call . . . .

Please contact us if we may be of assistance to you.



Lynne C. Angle,  
Director, Administrative Rules Division

**R**ules appearing under this heading are filed under the authority granted by section 536.025, RSMo 2000. An emergency rule may be adopted by an agency if the agency finds that an immediate danger to the public health, safety or welfare, or a compelling governmental interest requires emergency action; follows procedures best calculated to assure fairness to all interested persons and parties under the circumstances; follows procedures which comply with the protections extended by the *Missouri* and the *United States Constitutions*; limits the scope of such rule to the circumstances creating an emergency and requiring emergency procedure, and at the time of or prior to the adoption of such rule files with the secretary of state the text of the rule together with the specific facts, reasons and findings which support its conclusion that there is an immediate danger to the public health, safety or welfare which can be met only through the adoption of such rule and its reasons for concluding that the procedure employed is fair to all interested persons and parties under the circumstances.

**R**ules filed as emergency rules may be effective not less than ten days after filing or at such later date as may be specified in the rule and may be terminated at any time by the state agency by filing an order with the secretary of state fixing the date of such termination, which order shall be published by the secretary of state in the *Missouri Register* as soon as practicable.

**A**ll emergency rules must state the period during which they are in effect, and in no case can they be in effect more than 180 calendar days or 30 legislative days, whichever period is longer. Emergency rules are not renewable, although an agency may at any time adopt an identical rule under the normal rulemaking procedures.

**Title 13—DEPARTMENT OF SOCIAL SERVICES  
Division 70—Division of Medical Services  
Chapter 10—Nursing Home Program**

**EMERGENCY AMENDMENT**

**13 CSR 70-10.110 Nursing Facility Reimbursement Allowance.**  
The division is amending section (1) and section (2).

*PURPOSE: This amendment provides for the Nursing Facility Reimbursement Allowance of \$7.30 per patient occupancy day, effective for dates of service beginning July 1, 2001. It also clarifies the NFRA for nursing facilities that merge and payment of the NFRA.*

*EMERGENCY STATEMENT: This emergency amendment is necessary to implement the Nursing Facility Reimbursement Allowance (NFRA) for providers of nursing facility services for State Fiscal Year 2002. It must be implemented on a timely basis to ensure that quality nursing facility services continue to be provided to the 25,817 Medicaid patients in nursing facilities. The Division of Medical Services finds an immediate danger to public health which requires emergency action and the amendment is necessary to preserve a compelling governmental interest that requires an early effective date. A proposed amendment covering this same material is published in this issue of the *Missouri Register* to allow for public comment to assure fairness to all interested persons and parties.*

*ties. This emergency amendment limits its scope to the circumstances creating the emergency and complies with the protection extended by the Missouri and United States Constitutions. Therefore, the Division believes this emergency amendment to be fair to all interested persons and parties under the circumstances. Emergency amendment filed August 29, 2001, effective September 8, 2001, expires March 6, 2002.*

(1) Nursing Facility Reimbursement Allowance (NFRA). NFRA shall be assessed as described in this section.

(B) Each nursing facility, except any nursing facility operated by the Department of Mental Health, engaging in the business of providing nursing facility services in Missouri shall pay a Nursing Facility Reimbursement Allowance (NFRA).

1. The NFRA owed for existing nursing facilities shall be calculated by multiplying the NFRA rate by the annualized level of patient occupancy days from the applicable Division of Aging ICF/SNF Certificate of Need Quarterly Survey. The NFRA shall be divided by and collected over the number of months for which each NFRA rate is effective. The NFRA rates, effective dates and applicable quarterly surveys are set forth in section (2).

A. Exceptions.

(I) If an existing nursing facility's applicable quarterly survey, as set forth in section (2), does not represent a full quarter's worth of days due to a termination, temporary closure, change of ownership, etc., the patient occupancy days used to determine the NFRA shall be the greater of:

(a) The quarterly survey immediately prior to the applicable quarterly survey, if it represents a full quarter's worth of days; or

(b) Fifty percent (50%) of licensed beds.

(II) If an existing nursing facility did not have patient occupancy information included on the applicable quarterly survey due to a termination, temporary closure, change of ownership, etc., the patient occupancy days used to determine the NFRA shall be the greater of:

(a) The quarterly survey immediately prior to the applicable quarterly survey, if it represents a full quarter's worth of days; or

(b) Fifty percent (50%) of licensed beds.

(III) If a nursing facility has ICF licensed beds and SNF licensed beds and none of the beds are Medicaid certified, only the SNF beds are subject to NFRA. The patient occupancy days used to determine the NFRA shall be determined by multiplying the occupancy percentage from the applicable quarterly survey by the annualized level of patient occupancy days based on the SNF licensed beds.

(IV) If two (2) existing nursing facilities merge, with one (1) nursing facility terminating and transferring its beds to the remaining facility, the NFRA for the two (2) previously independent nursing facilities shall be added together and assessed to the remaining facility.

2. The initial NFRA owed by a newly licensed nursing facility that just opened as a result of receiving a Certificate of Need (CON) for a new nursing facility shall be calculated by multiplying the NFRA rate by the annualized level of patient occupancy days based on fifty percent (50%) of licensed beds. The NFRA shall be prorated for the number of months remaining in the NFRA period. If a nursing facility's licensure date is after the first day of a month, the NFRA will be collected beginning with the first day of the month following the actual licensure date.

3. If a nursing facility ceases to provide nursing facility services, the nursing facility is not required to pay the NFRA during the months in which it does not have residents, even though it may retain a license due to temporary closure for renovations, replacement, etc. If the facility reopens, it shall resume paying the NFRA.

It shall owe the same NFRA as it did prior to closing, if the NFRA has not changed per section (2) below. If the NFRA has changed, the facility shall be assessed in accordance with paragraph (1)(B)1. above.

(D) The department shall prepare a confirmation schedule of the information from each nursing facility's 1994 second quarterly survey from the Division of Aging and provide each nursing facility with this schedule.

1. This schedule shall include:

- A. Provider name;
- B. Provider number; and
- C. Total patient occupancy days.

2. Each nursing facility required to pay the Nursing Facility Reimbursement Allowance shall review the information in the schedule referenced in paragraph (1)(D)1. of this regulation and provide the department with correct information. If the information supplied by the department is incorrect, the facility within thirty (30) calendar days of receiving the confirmation schedule must notify the division and explain the corrections. If the division does not receive corrected information within thirty (30) calendar days, it will be assumed to be correct, unless the nursing facility files a protest in accordance with subsection (1)(E)/(F) of this regulation.

**(3.)(E) Payment of the NFRA.**

**1. Offset.** Each nursing facility may request that their Nursing Facility Reimbursement Allowance be offset against any Missouri Medicaid payment due to that nursing facility. A statement authorizing the offset must be on file with the division before any offset may be made relative to the nursing facility reimbursement allowance by the nursing facility. Assessments shall be allocated and deducted over the **applicable service period [covering services January 1995 through September 1995]. Any balance due after the offset shall be remitted by the nursing facility to the department. The remittance shall be made payable to the Director of the Department of Revenue and deposited in the state treasury to the credit of the Nursing Facility Reimbursement Allowance Fund. If the remittance is not received before the next Medicaid payment cycle, the Division shall offset the balance due from that check.**

**2. Check.** If no offset has been authorized by the nursing facility, the division will begin collecting the nursing facility reimbursement allowance on *[January 1, 1995, and]* the first day of each month *[thereafter]*. **The NFRA shall be remitted by the nursing facility to the department. The remittance shall be made payable to the Director of the Department of Revenue and deposited in the state treasury to the credit of the Nursing Facility Reimbursement Allowance Fund.**

**3. Failure to pay the NFRA.** If a nursing facility fails to pay its NFRA within thirty (30) days of notice, the NFRA shall be delinquent. For any delinquent NFRA, the department may proceed to enforce the state's lien of the property of the nursing facility, may cancel or refuse to issue, extend or reinstate the Medicaid provider agreement or may seek denial, suspension or revocation of license granted under Chapter 198, RSMo. The new owner, as a result of a change in ownership, shall have his/her NFRA paid by the same method the previous owner elected.

*[4. The nursing facility reimbursement allowance owed or, if an offset has been requested, the balance due, if any, after such offset, shall be remitted by the nursing facility to the department monthly beginning with January 1995, and each month thereafter. The remittance shall be made payable to the Director of the Department of Revenue. The amount remitted shall be deposited in the state treasury to the credit of the Nursing Facility Reimbursement Allowance Fund.]*

**(E.)(F)** Each nursing facility, upon receiving written notice of the final determination of its Nursing Facility Reimbursement Allowance may file a protest with the director of the department

setting forth the grounds on which the protest is based, within thirty (30) days from the date of receipt of written notice from the department. The director of the department shall reconsider the determination and, if the nursing facility so requested, the director or the director's designee shall grant the nursing facility a hearing to be held within forty-five (45) days after the protest is filed, unless extended by agreement between the nursing facility and the director. The director shall issue a final decision within forty-five (45) days of the completion of the hearing. After a final decision by the director, a nursing facility's appeal of the director's final decision shall be to the administrative hearing commission in accordance with sections 208.156, RSMo and 62.055, RSMo.

(2) NFRA Rates. The NFRA rates determined by the division, as set forth in (1)(B) above, are as follows:

**(H) The NFRA will be seven dollars and thirty cents (\$7.30) per patient occupancy day, effective July 1, 2001. The applicable quarterly survey for this period shall be the Division of Aging's December 2000 quarterly survey.**

*AUTHORITY: sections 198.401, 198.403, 198.406, 198.409, 198.412, 198.416, 198.418, 198.421, 198.424, 198.427, 198.431, 198.433, [and] 198.436[, RSMo Supp. 1999] and 208.201, RSMo [1994] 2000. Emergency rule filed Dec. 21, 1994, effective Jan. 1, 1995, expired April 30, 1995. Emergency rule filed April 21, 1995, effective May 1, 1995, expired Aug. 28, 1995. Original rule filed Dec. 15, 1994, effective July 30, 1995. For intervening history, please consult the Code of State Regulations. Emergency amendment filed Aug. 29, 2001, effective Sept. 8, 2001, expires March 6, 2002. A proposed amendment covering this same material is published in this issue of the Missouri Register.*



**U**nder this heading will appear the text of proposed rules and changes. The notice of proposed rulemaking is required to contain an explanation of any new rule or any change in an existing rule and the reasons therefor. This is set out in the Purpose section with each rule. Also required is a citation to the legal authority to make rules. This appears following the text of the rule, after the word "Authority."

**E**ntirely new rules are printed without any special symbolology under the heading of the proposed rule. If an existing rule is to be amended or rescinded, it will have a heading of proposed amendment or proposed rescission. Rules which are proposed to be amended will have new matter printed in boldface type and matter to be deleted placed in brackets.

**A**n important function of the *Missouri Register* is to solicit and encourage public participation in the rule-making process. The law provides that for every proposed rule, amendment or rescission there must be a notice that anyone may comment on the proposed action. This comment may take different forms.

**I**f an agency is required by statute to hold a public hearing before making any new rules, then a Notice of Public Hearing will appear following the text of the rule. Hearing dates must be at least thirty (30) days after publication of the notice in the *Missouri Register*. If no hearing is planned or required, the agency must give a Notice to Submit Comments. This allows anyone to file statements in support of or in opposition to the proposed action with the agency within a specified time, no less than thirty (30) days after publication of the notice in the *Missouri Register*.

**A**n agency may hold a public hearing on a rule even though not required by law to hold one. If an agency allows comments to be received following the hearing date, the close of comments date will be used as the beginning day in the ninety (90)-day-count necessary for the filing of the order of rulemaking.

**I**f an agency decides to hold a public hearing after planning not to, it must withdraw the earlier notice and file a new notice of proposed rulemaking and schedule a hearing for a date not less than thirty (30) days from the date of publication of the new notice.

*AUTHORITY: sections 40 and 45 of Art. IV, Mo. Const. This rule was previously filed as 3 CSR 10-5.280. This version of rule filed July 22, 1974, effective Dec. 31, 1974. For intervening history, please consult the Code of State Regulations. Amended: Filed Aug. 30, 2001.*

*PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.*

*PRIVATE COST: This proposed amendment is estimated to cost private entities approximately twenty-seven thousand four hundred eighty dollars (\$27,480) annually. A detailed fiscal note, which estimates the cost of compliance with this rule, has been filed with the secretary of state.*

*NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with John W. Smith, Deputy Director, Department of Conservation, PO Box 180, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the Missouri Register. No public hearing is scheduled.*

Proposed Amendment Text Reminder:

**Boldface text indicates new matter.**

*[Bracketed text indicates matter being deleted.]*

## Title 3—DEPARTMENT OF CONSERVATION Division 10—Conservation Commission Chapter 5—Wildlife Code: Permits

### PROPOSED AMENDMENT

**3 CSR 10-5.550 Nonresident Firearms Deer Hunting Permit.**  
The department proposes to amend provisions of this rule.

*PURPOSE: This amendment changes the fee for a nonresident firearms deer hunting permit from one hundred twenty-five dollars (\$125) to one hundred forty-five dollars (\$145).*

To pursue, take, possess and transport an antlered deer statewide during the firearms deer hunting seasons. Fee: *[one hundred twenty-five dollars (\$125)] one hundred forty-five dollars (\$145).*

**FISCAL NOTE  
PRIVATE ENTITY COST****I. RULE NUMBER**

Title: 3 - Department of Conservation

Division: 10 Conservation Commission

Chapter: 5

Type of Rulemaking: Proposed Amendment

Rule Number and Name: 3CSR10-5.550 Nonresident Firearms Deer Hunting Permit

**II. SUMMARY OF FISCAL IMPACT**

Estimate of the number of entities by class which would likely be affected by the adoption of the proposed rule:	Classification by types of the business entities which would likely be affected:	Estimate in the aggregate as to the cost of compliance with the rule by the affected entities:
1,374 nonresident deer hunters	N/A	\$27,480.00

**III. WORKSHEET**

1,374 nonresident hunters X \$20 increase per permit sold = \$27,480.00 aggregate cost

**IV. ASSUMPTIONS**

Number of nonresident hunters is based on historic sales data.

Based on Permit Year (March 1 through last day of February next following) NOT fiscal year.

Based on an average five-year life cost. All permit fees are reviewed annually and adjustments made as needed--normally within five years--to remain competitive with other states.

**Title 3—DEPARTMENT OF CONSERVATION  
Division 10—Conservation Commission  
Chapter 5—Wildlife Code: Permits**

**PROPOSED AMENDMENT**

**3 CSR 10-5.551 Nonresident Firearms Any-Deer Hunting Permit.** The department proposes to amend provisions of this rule.

*PURPOSE: This amendment changes the fee for a nonresident firearms any-deer hunting permit from one hundred twenty-five dollars (\$125) to one hundred forty-five dollars (\$145).*

To pursue, take, possess and transport an antlered deer statewide or a deer of either sex in a specified deer management unit during the firearms deer hunting seasons. Fee: *[one hundred twenty-five dollars (\$125)] one hundred forty-five dollars (\$145).*

*AUTHORITY: sections 40 and 45 of Art. IV, Mo. Const. Original rule filed June 11, 1997, effective March 1, 1998. Amended: Filed July 8, 1998, effective March 1, 1999. Amended: Filed Aug. 30, 2001.*

*PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.*

*PRIVATE COST: This proposed amendment is estimated to cost private entities approximately two hundred forty-seven thousand three hundred sixty dollars (\$247,360) annually. A detailed fiscal note, which estimates the cost of compliance with this rule, has been filed with the secretary of state.*

*NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with John W. Smith, Deputy Director, Department of Conservation, PO Box 180, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the **Missouri Register**. No public hearing is scheduled.*

**FISCAL NOTE  
PRIVATE ENTITY COST****I. RULE NUMBER**

Title: 3 - Department of Conservation

Division: 10 Conservation Commission

Chapter: 5

Type of Rulemaking: Proposed Amendment

Rule Number and Name: 3CSR10-5.551 Nonresident Firearms Any-Deer Hunting Permit

**II. SUMMARY OF FISCAL IMPACT**

Estimate of the number of entities by class which would likely be affected by the adoption of the proposed rule:	Classification by types of the business entities which would likely be affected:	Estimate in the aggregate as to the cost of compliance with the rule by the affected entities:
12,368 nonresident deer hunters	N/A	\$247,360.00

**III. WORKSHEET**

12,368 nonresident hunters X \$20 increase per permit sold = \$247,360.00 aggregate cost

**V. ASSUMPTIONS**

Number of nonresident hunters is based on historic sales data.

Based on Permit Year (March 1 through last day of February next following) NOT fiscal year.

Based on an average five-year life cost. All permit fees are reviewed annually and adjustments made as needed—normally within five years—to remain competitive with other states.

**Title 3—DEPARTMENT OF CONSERVATION  
Division 10—Conservation Commission  
Chapter 5—Wildlife Code: Permits**

**PROPOSED AMENDMENT**

**3 CSR 10-5.559 Nonresident Managed Deer Hunting Permit.**  
The department proposes to amend provisions of this rule.

*PURPOSE: This amendment changes the fee for a nonresident managed deer hunting permit from one hundred twenty-five dollars (\$125) to one hundred forty-five dollars (\$145).*

To pursue, take, possess and transport deer during a prescribed managed deer hunt. Fee: *[one hundred twenty-five dollars (\$125)] one hundred forty-five dollars (\$145).*

*AUTHORITY: sections 40 and 45 of Art. IV, Mo. Const. Original rule filed July 8, 1998, effective March 1, 1999. Amended: Filed Aug. 30, 2001.*

*PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.*

*PRIVATE COST: This proposed amendment is estimated to cost private entities approximately one thousand sixty dollars (\$1,060) annually. A detailed fiscal note, which estimates the cost of compliance with this rule, has been filed with the secretary of state.*

*NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with John W. Smith, Deputy Director, Department of Conservation, PO Box 180, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the **Missouri Register**. No public hearing is scheduled.*

**FISCAL NOTE  
PRIVATE ENTITY COST****I. RULE NUMBER**

Title: 3 - Department of Conservation

Division: 10 Conservation Commission

Chapter: 5

Type of Rulemaking: Proposed Amendment

Rule Number and Name: 3CSR10-5.559 Nonresident Managed Deer Hunting Permit

**II. SUMMARY OF FISCAL IMPACT**

Estimate of the number of entities by class which would likely be affected by the adoption of the proposed rule:	Classification by types of the business entities which would likely be affected:	Estimate in the aggregate as to the cost of compliance with the rule by the affected entities:
53 nonresident deer hunters	N/A	\$1,060.00

**III. WORKSHEET**

53 nonresident hunters X \$20 increase per permit sold = \$1,060.00 aggregate cost

**IV. ASSUMPTIONS**

Number of nonresident hunters is based on historic sales data.

Based on Permit Year (March 1 through last day of February next following) NOT fiscal year.

Based on an average five-year life cost. All permit fees are reviewed annually and adjustments made as needed--normally within five years--to remain competitive with other states.

**Title 3—DEPARTMENT OF CONSERVATION  
Division 10—Conservation Commission  
Chapter 5—Wildlife Code: Permits**

**PROPOSED AMENDMENT**

**3 CSR 10-5.560 Nonresident Archer's Hunting Permit.** The department proposes to amend provisions of this rule.

*PURPOSE: This amendment changes the fee for a nonresident archer's hunting permit from one hundred dollars (\$100) to one hundred twenty dollars (\$120).*

To pursue, take, possess and transport deer and wild turkey during the fall deer and turkey archery season and small game (except furbearers) during prescribed seasons. Fee: *[one hundred dollars (\$100)] one hundred twenty dollars (\$120).*

*AUTHORITY: sections 40 and 45 of Art. IV, Mo. Const. This rule was previously filed as 3 CSR 10-5.275. This version of rule filed July 22, 1974, effective Dec. 31, 1974. For intervening history, please consult the Code of State Regulations. Amended: Filed Aug. 30, 2001.*

*PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.*

*PRIVATE COST: This proposed amendment is estimated to cost private entities approximately forty-nine thousand nine hundred twenty dollars (\$49,920) annually. A detailed fiscal note, which estimates the cost of compliance with this rule, has been filed with the secretary of state.*

*NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with John W. Smith, Deputy Director, Department of Conservation, PO Box 180, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the Missouri Register. No public hearing is scheduled.*

**FISCAL NOTE  
PRIVATE ENTITY COST****I. RULE NUMBER**

Title: 3 - Department of Conservation

Division: 10 Conservation Commission

Chapter: 5

Type of Rulemaking: Proposed amendment

Rule Number and Name: 3CSR10-5.560 Nonresident Archer's Hunting Permit

**II. SUMMARY OF FISCAL IMPACT**

Estimate of the number of entities by class which would likely be affected by the adoption of the proposed rule:	Classification by types of the business entities which would likely be affected:	Estimate in the aggregate as to the cost of compliance with the rule by the affected entities:
2,496 nonresident archery hunters	N/A	\$49,920.00

**III. WORKSHEET**

2,496 nonresident hunters X \$20 increase per permit sold = \$49,920.00 aggregate cost

**IV. ASSUMPTIONS**

Number of nonresident hunters is based on historic sales data.

Based on Permit Year (March 1 through last day of February next following) NOT fiscal year.

Based on an average five-year life cost. All permit fees are reviewed annually and adjustments made as needed—normally within five years—to remain competitive with other states.



**Title 3—DEPARTMENT OF CONSERVATION  
Division 10—Conservation Commission  
Chapter 5—Wildlife Code: Permits**

**PROPOSED AMENDMENT**

**3 CSR 10-5.565 Nonresident Turkey Hunting Permits.** The department proposes to amend provisions of this rule.

*PURPOSE: This amendment changes the fee for nonresident turkey hunting permits: spring season from one hundred twenty-five dollars (\$125) to one hundred forty-five dollars (\$145); fall season from seventy-five dollars (\$75) to ninety-five dollars (\$95).*

(1) To pursue, take, possess and transport wild turkey during the prescribed open season.

(A) Spring Season Permit. Fee: *[one hundred twenty-five dollars (\$125)]* **one hundred forty-five dollars (\$145).**

(B) Fall Season Permit. Fee: *[seventy-five dollars (\$75)]* **ninety-five dollars (\$95).**

*AUTHORITY: sections 40 and 45 of Art. IV, Mo. Const. This rule was previously filed as 3 CSR 10-5.267. This version of rule filed July 22, 1974, effective Dec. 31, 1974. For intervening history, please consult the Code of State Regulations. Amended: Filed Aug. 30, 2001.*

*PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.*

*PRIVATE COST: This proposed amendment is estimated to cost private entities approximately two hundred eight thousand five hundred eighty dollars (\$208,580) annually. A detailed fiscal note, which estimates the cost of compliance with this rule, has been filed with the secretary of state.*

*NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with John W. Smith, Deputy Director, Department of Conservation, PO Box 180, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the Missouri Register. No public hearing is scheduled.*

**FISCAL NOTE  
PRIVATE ENTITY COST****I. RULE NUMBER**

Title: 3 - Department of Conservation

Division: 10 Conservation Commission

Chapter: 5

Type of Rulemaking: Proposed Amendment

Rule Number and Name: 3CSR10-5.565 Nonresident Turkey Hunting Permits

**II. SUMMARY OF FISCAL IMPACT**

Estimate of the number of entities by class which would likely be affected by the adoption of the proposed rule:

10,429 nonresident turkey hunters

Classification by types of the business entities which would likely be affected:

N/A

Estimate in the aggregate as to the cost of compliance with the rule by the affected entities:

\$208,580.00

**III. WORKSHEET**

10,429 nonresident hunters X \$20 increase per permit sold = \$208,580.00 aggregate cost

**IV. ASSUMPTIONS**

Number of nonresident hunters is based on historic sales data.

Based on Permit Year (March 1 through last day of February next following) NOT fiscal year.

Based on an average five-year life cost. All permit fees are reviewed annually and adjustments made as needed--normally within five years--to remain competitive with other states.

**Title 3—DEPARTMENT OF CONSERVATION  
Division 10—Conservation Commission  
Chapter 11—Wildlife Code: Special Regulations for  
Department Areas**

**PROPOSED AMENDMENT**

**3 CSR 10-11.182 Deer Hunting.** The department proposes to amend subsection (2)(JJ).

*PURPOSE:* This amendment adds clarification to Four Rivers Conservation Area Unit 1.

(2) Deer may be hunted, under statewide seasons and limits, only by archery methods on the following department areas:

(JJ) Four Rivers Conservation Area (Unit 1—**portion north of Little Osage River**, Unit 2, Unit 3).

*AUTHORITY:* sections 40 and 45 of Art. IV, Mo. Const. This rule previously filed as 3 CSR 10-4.115. Original rule filed April 30, 2001 effective Sept. 30, 2001. Amended: Filed Aug. 30, 2001.

*PUBLIC COST:* This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.

*PRIVATE COST:* This proposed amendment will not cost private entities more than five hundred dollars (\$500) in the aggregate.

*NOTICE TO SUBMIT COMMENTS:* Anyone may file a statement in support of or in opposition to this proposed amendment with John W. Smith, Deputy Director, Department of Conservation, PO Box 180, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the *Missouri Register*. No public hearing is scheduled.

**Title 3—DEPARTMENT OF CONSERVATION  
Division 10—Conservation Commission  
Chapter 11—Wildlife Code: Special Regulations for  
Department Areas**

**PROPOSED AMENDMENT**

**3 CSR 10-11.200 Fishing, General Provisions and Seasons.** The department proposes to amend subsection (2)(B).

*PURPOSE:* This amendment opens Rudolf Bennitt Lake located on Rudolf Bennitt Conservation Area to fishing.

(2) Fishing is prohibited on the following department areas or individually named lakes:

(A) Allred Lake Natural Area

[(B)] Rudolf Bennitt Lake (Rudolf Bennitt Conservation Area)]

[(C)] (B) Robert L. Blattner Conservation Area

[(D)] (C) Burr Oak Woods Conservation Area

[(E)] (D) Gama Grass Prairie Conservation Area

[(F)] (E) Gay Feather Prairie Conservation Area

[(G)] (F) Charles W. Green Conservation Area

[(H)] (G) Little Osage Prairie

[(I)] (H) Chloe Lowry Marsh Natural Area

[(J)] (I) Mon-Shon Prairie Conservation Area

[(K)] (J) Mount Vernon Prairie

[(L)] (K) Niawathe Prairie Conservation Area

[(M)] (L) Pawhuska Prairie

[(N)] (M) Powder Valley Conservation Nature Center

[(O)] (N) Springfield Conservation Nature Center

[(P)] (O) Wah-Kon-Tah Prairie (portion south of Highway 82)

[(Q)] (P) Wah-Sha-She Prairie

[(R)] (Q) Henry Jackson Waters and C.B. Moss Memorial Wildlife Area

[(S)] (R) Mark Youngdahl Urban Conservation Area

*AUTHORITY:* sections 40 and 45 of Art. IV, Mo. Const. This rule previously filed as 3 CSR 10-4.115. Original rule filed April 30, 2001, effective Sept. 30, 2001. Amended: Filed Aug. 30, 2001.

*PUBLIC COST:* This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.

*PRIVATE COST:* This proposed amendment will not cost private entities more than five hundred dollars (\$500) in the aggregate.

*NOTICE TO SUBMIT COMMENTS:* Anyone may file a statement in support of or in opposition to this proposed amendment with John W. Smith, Deputy Director, Department of Conservation, PO Box 180, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the *Missouri Register*. No public hearing is scheduled.

**Title 3—DEPARTMENT OF CONSERVATION  
Division 10—Conservation Commission  
Chapter 11—Wildlife Code: Special Regulations for  
Department Areas**

**PROPOSED AMENDMENT**

**3 CSR 10-11.210 Fishing, Daily and Possession Limits.** The department proposes to amend subsection (2)(J).

*PURPOSE:* This amendment changes the daily limit on black bass at Manito Lake in Moniteau County from two (2) to six (6) fish.

(2) The daily limit for black bass shall be two (2) on the following department areas or individually named lakes:

[(J)] Manito Lake Conservation Area]

[(K)] (J) Maple Leaf Lake Conservation Area

[(L)] (K) Port Hudson Lake Conservation Area

[(M)] (L) James A. Reed Memorial Wildlife Area

[(N)] (M) Schell Lake (Schell-Osage Conservation Area)

[(O)] (N) Weldon Spring Conservation Area

*AUTHORITY:* sections 40 and 45 of Art. IV, Mo. Const. This rule previously filed as 3 CSR 10-4.115. Original rule filed April 30, 2001 effective Sept. 30, 2001. Amended: Filed Aug. 30, 2001.

*PUBLIC COST:* This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.

*PRIVATE COST:* This proposed amendment will not cost private entities more than five hundred dollars (\$500) in the aggregate.

*NOTICE TO SUBMIT COMMENTS:* Anyone may file a statement in support of or in opposition to this proposed amendment with John W. Smith, Deputy Director, Department of Conservation, PO Box 180, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the *Missouri Register*. No public hearing is scheduled.

**Title 3—DEPARTMENT OF CONSERVATION  
Division 10—Conservation Commission  
Chapter 11—Wildlife Code: Special Regulations for  
Department Areas**

**PROPOSED AMENDMENT**

**3 CSR 10-11.215 Fishing, Length Limits.** The department proposes to amend paragraph (2)(C)(6).

*PURPOSE:* This amendment changes the length limit on black bass at Manito Lake in Moniteau County from an eighteen inch (18") minimum to one (1) twelve to fifteen inch (12-15") protected slot limit.

(2) On lakes and ponds, except as listed below, black bass more than twelve inches (12") but less than fifteen inches (15") total length must be returned to the water unharmed immediately after being caught.

(C) Black bass less than eighteen inches (18") total length must be returned to the water unharmed immediately after being caught on the following department areas or individually named lakes:

1. Bellefontaine Conservation Area
2. Lakes 33 and 35 (August A. Busch Memorial Conservation Area)
3. Belcher Branch Lake Conservation Area
4. Robert G. Delaney Lake Conservation Area
5. Lake Paho Conservation Area
- [6. Manito Lake Conservation Area]
- [7.] 6. Port Hudson Lake Conservation Area

*AUTHORITY:* sections 40 and 45 of Art. IV, Mo. Const. This rule previously filed as 3 CSR 10-4.115. Original rule filed April 30, 2001 effective Sept. 30, 2001. Amended: Filed Aug. 30, 2001.

*PUBLIC COST:* This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.

*PRIVATE COST:* This proposed amendment will not cost private entities more than five hundred dollars (\$500) in the aggregate.

*NOTICE TO SUBMIT COMMENTS:* Anyone may file a statement in support of or in opposition to this proposed amendment with John W. Smith, Deputy Director, Department of Conservation, PO Box 180, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the *Missouri Register*. No public hearing is scheduled.

**Title 3—DEPARTMENT OF CONSERVATION  
Division 10—Conservation Commission  
Chapter 12—Wildlife Code: Special Regulations for  
Areas Owned by Other Entities**

**PROPOSED AMENDMENT**

**3 CSR 10-12.110 Use of Boats and Motors.** The department proposes to amend section (4) and subsection (5)(H).

*PURPOSE:* This amendment establishes provisions for boat use on Columbia (Stephens Lake) and changes the name of the reservoir managed in cooperation with the City of Unionville.

(4) Only boats without motors may be used on Columbia (Stephens Lake, Twin Lake).

(5) Outboard motors not in excess of ten (10) horsepower may be used on the following areas:

(H) Unionville [City Lake] (Lake Mahoney)

*AUTHORITY:* sections 40 and 45 of Art. IV, Mo. Const. This rule previously filed as 3 CSR 10-4.116. Original rule filed April 30, 2001, effective Sept. 30, 2001. Amended: Filed Aug. 30, 2001.

*PUBLIC COST:* This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.

*PRIVATE COST:* This proposed amendment will not cost private entities more than five hundred dollars (\$500) in the aggregate.

*NOTICE TO SUBMIT COMMENTS:* Anyone may file a statement in support of or in opposition to this proposed amendment with John W. Smith, Deputy Director, Department of Conservation, PO Box 180, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the *Missouri Register*. No public hearing is scheduled.

**Title 3—DEPARTMENT OF CONSERVATION  
Division 10—Conservation Commission  
Chapter 12—Wildlife Code: Special Regulations for  
Areas Owned by Other Entities**

**PROPOSED AMENDMENT**

**3 CSR 10-12.135 Fishing, Methods.** The department proposes to amend subsection (3)(M).

*PURPOSE:* This amendment changes the name of the reservoir managed in cooperation with the City of Unionville.

(3) Carp, buffalo, suckers and gar may be taken by gig, longbow or crossbow during statewide seasons on the following lakes:

(M) Unionville [City Lake] (Lake Mahoney)

*AUTHORITY:* sections 40 and 45 of Art. IV, Mo. Const. This rule previously filed as 3 CSR 10-4.116. Original rule filed April 30, 2001, effective Sept. 30, 2001. Amended: Filed Aug. 30, 2001.

*PUBLIC COST:* This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.

*PRIVATE COST:* This proposed amendment will not cost private entities more than five hundred dollars (\$500) in the aggregate.

*NOTICE TO SUBMIT COMMENTS:* Anyone may file a statement in support of or in opposition to this proposed amendment with John W. Smith, Deputy Director, Department of Conservation, PO Box 180, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the *Missouri Register*. No public hearing is scheduled.

**Title 3—DEPARTMENT OF CONSERVATION  
Division 10—Conservation Commission  
Chapter 12—Wildlife Code: Special Regulations for  
Areas Owned by Other Entities**

**PROPOSED AMENDMENT**

**3 CSR 10-12.140 Fishing, Daily and Possession Limits.** The department proposes to add two new sections and amends sections (2) and (9).

*PURPOSE: This amendment establishes a daily limit of two (2) on black bass on Columbia (Stephens Lake), Mexico (Teal Lake) and Unionville (Lake Mahoney), and establishes daily limits on bluegill on Columbia (Stephens Lake) and University of Missouri (McCredie Lake).*

(2) The daily limit for black bass is two (2) on the following lakes:

(F) Columbia (**Stephens Lake**, Twin Lake)

(P) **Mexico (Teal Lake)**

[[P]] (Q) Mineral Area College (Quarry Pond)

[[Q]] (R) Overland (Wild Acres Park Lake)

[[R]] (S) Potosi (Roger Bilderback Lake)

[[S]] (T) St. Louis City (Benton Park Lake, Boathouse Lake, Clifton Heights Park Lake, Fairgrounds Park Lake, Horseshoe Lake, Hyde Park Lake, Jefferson Lake, Lafayette Park Lake, North Riverfront Park Lake, O'Fallon Park Lake, Willmore Park North Lake, Willmore Park South Lake)

[[T]] (U) St. Louis County (Bee Tree Lake, Bellefontaine Park Lake, Creve Coeur Lake, Queeny Park Lake, Simpson Lake, Spanish Lake, Sunfish Lake, Suson Park Lakes No. 1, 2, and 3, Tilles Park Lake, Veteran's Memorial Park Lake)

(V) **Unionville (Lake Mahoney)**

[[U]] (W) University of Missouri (South Farm R-1 Lake)

[[V]] (X) Warrensburg (Lion's Lake)

[[W]] (Y) Watkins Mill State Park Lake

[[X]] (Z) Wentzville (Community Club Lake)

[[Y]] (AA) Windsor (Farrington Park Lake)

**(9) The daily limit for bluegill is five (5) on University of Missouri (McCredie Lake).**

**(10) The daily limit for bluegill is ten (10) on Columbia (Stephens Lake).**

[[9]] **(11)** The daily limit for other fish as designated in 3 CSR 10-6.550 is twenty (20) in the aggregate, except on the following lakes where the daily limit in the aggregate is ten (10), and except for those fish included in (3), (4), [and] (8), **(9) and (10)** of this rule:

(A) Ballwin (New Ballwin Lake, Vlasik Park Lake)

(B) Bridgeton (Kiwanis Lake)

(C) Ferguson (January-Wabash Lake)

(D) Kirkwood (Walker Lake)

(E) Mineral Area College (Quarry Pond)

(F) Overland (Wild Acres Park Lake)

(G) Potosi (Roger Bilderback Lake)

(H) St. Louis City (Benton Park Lake, Boathouse Lake, Clifton Heights Park Lake, Fairgrounds Park Lake, Horseshoe Lake, Hyde Park Lake, Jefferson Lake, Lafayette Park Lake, North Riverfront Park Lake, O'Fallon Park Lake, Willmore Park North Lake, Willmore Park South Lake)

(I) St. Louis County (Bee Tree Lake, Bellefontaine Park Lake, Creve Coeur Lake, Queeny Park Lake, Simpson Lake, Spanish Lake, Sunfish Lake, Suson Park Lakes No. 1, 2 and 3, Tilles Park Lake, Veteran's Memorial Park Lake)

(J) Wentzville (Community Club Lake)

[[10]] **(12)** Trout must be returned to the water unharmed immediately after being caught from November 1 through January 31 on Kirkwood (Walker Lake), Overland (Wild Acres Park Lake) and St. Louis County (Tilles Park Lake). Trout may not be possessed on these waters during this season.

*AUTHORITY: sections 40 and 45 of Art. IV, Mo. Const. This rule previously filed as 3 CSR 10-4.116. Original rule filed April 30, 2001, effective Sept. 30, 2001. Amended: Filed Aug. 30, 2001.*

*PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.*

*PRIVATE COST: This proposed amendment will not cost private entities more than five hundred dollars (\$500) in the aggregate.*

*NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with John W. Smith, Deputy Director, Department of Conservation, PO Box 180, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the Missouri Register. No public hearing is scheduled.*

**Title 3—DEPARTMENT OF CONSERVATION  
Division 10—Conservation Commission  
Chapter 12—Wildlife Code: Special Regulations for  
Areas Owned by Other Entities**

**PROPOSED AMENDMENT**

**3 CSR 10-12.145 Fishing, Length Limits.** The department proposes to add a new subsection (2)(D) and section (4), and amend sections (2) and (5).

*PURPOSE: This amendment changes the minimum length limit on black bass at Unionville (Lake Mahoney), establishes minimum length limits on black bass at Columbia (Stephens Lake) and on bluegill at Columbia (Stephens Lake), and eliminates the minimum length limit on bluegill at University of Missouri (Dairy Farm Lake No. 1).*

(2) Black bass more than twelve inches (12") but less than fifteen inches (15") total length must be returned to the water unharmed immediately after being caught, except as follows:

(B) Black bass less than fifteen inches (15") total length must be returned to the water unharmed immediately after being caught on the following lakes:

1. Arrow Rock State Historic Site (Big Soldier Lake)

2. Bethany (Old Bethany City Reservoir)

3. Big Oak Tree State Park (Big Oak Lake)

4. Butler City Lake

5. California (Proctor Park Lake)

6. Cameron (Reservoirs No. 1, 2 and 3, Grindstone Reservoir)

7. Carthage (Kellogg Lake)

**8. Columbia (Stephens Lake)**

[8.] **9.** Concordia (Edwin A. Pape Lake)

[9.] **10.** Confederate Memorial State Historic Site lakes

[10.] **11.** Dexter City Lake

[11.] **12.** Hamilton City Lake

[12.] **13.** Harrison County Lake

[13.] **14.** Higginsville City Lake

[14.] **15.** Holden City Lake

[15.] **16.** Iron Mountain City Lake

[16.] **17.** Jackson (Rotary Park Lake)

[17.] **18.** Jackson County (Alex George Lake, Bergan Lake, Bowlin Road Lake, Lake Jacomo, Prairie Lee Lake, Scherer Lake, Tarsney Lake, Wood Lake, Wyatt Lake)

[18.] **19.** Jefferson City (McKay Park Lake)

[19.] **20.** Lancaster (New City Lake)

[20.] **21.** Maysville (Willow Brook Lake)

[21.] **22.** Mark Twain National Forest (Fourche Lake, Huzzah Pond, Loggers Lake, McCormack Lake, Noblett Lake, Roby Lake)

[22.] **23.** Mineral Area College (Quarry Pond)

[23.] **24.** Pershing State Park ponds

[24.] **25.** Potosi (Roger Bilderback Lake)

**26. University of Missouri (Dairy Farm Lake No. 1 and McCredie Lake)**

[25.] **27.** Warrensburg (Lion's Lake)

[26.] 28. Watkins Mill State Park Lake  
 [27.] 29. Windsor (Farrington Park Lake)  
 [28. Unionville City Lake

29. University of Missouri (Dairy Farm Lake No. 1 and McCredie Lake)]

(C) Black bass less than eighteen inches (18") total length must be returned to the water unharmed immediately after being caught on the following lakes:

1. Ballwin (New Ballwin Lake, Vlasik Park Lake)
2. Bridgeton (Kiwanis Lake)
3. Columbia (Twin Lake)
4. Ferguson (January-Wabash Lake)
5. Kirksville (Hazel Creek Lake)
6. Kirkwood (Walker Lake)
7. Macon (Blees Lake)
8. Overland (Wild Acres Park Lake)
9. St. Louis City (Benton Park Lake, Boathouse Lake, Clifton Heights Park Lake, Fairgrounds Park Lake, Horseshoe Lake, Hyde Park Lake, Jefferson Lake, Lafayette Park Lake, North Riverfront Park Lake, O'Fallon Park Lake, Willmore Park North Lake, Willmore Park South Lake)
10. St. Louis County (Bee Tree Lake, Bellefontaine Park Lake, Creve Coeur Lake, Queeny Park Lake, Simpson Lake, Spanish Lake, Sunfish Lake, Suson Park Lakes, No. 1, 2 and 3, Tilles Park Lake, Veteran's Memorial Park Lake)

**11. Unionville (Lake Mahoney)**

[11.] 12. University of Missouri (South Farm R-1 Lake)

[12.] 13. Wentzville (Community Club Lake)

**(D) Black bass less than twenty inches (20") total length must be returned to the water unharmed immediately after being caught on Mexico (Teal Lake).**

[[D]] (E) Black bass more than fourteen inches (14") but less than eighteen inches (18") total length must be returned to the water unharmed immediately after being caught on LaBelle City Lake.

**(4) Bluegill less than eight inches (8") total length must be returned to the water unharmed immediately after being caught on Columbia (Stephens Lake).**

[[4]] (5) Bluegill less than nine inches (9") total length must be returned to the water unharmed immediately after being caught on University of Missouri ([Dairy Farm Lake No. 1 and] McCredie Lake).

[[5]] (6) Channel catfish less than fifteen inches (15") total length must be returned to the water unharmed immediately after being caught on Macon City Lake and Marceline City Lake.

[[6]] (7) Flathead catfish less than twenty-four inches (24") total length must be returned to the water unharmed immediately after being caught on Concordia (Edwin A. Pape Lake), Higginsville City Lake and St. Louis County (Bee Tree Lake, Sunfish Lake).

[[7]] (8) Muskellunge less than forty-two inches (42") total length must be returned to the water unharmed immediately after being caught on Kirksville (Hazel Creek Lake).

[[8]] (9) Walleye less than eighteen inches (18") total length must be returned to the water unharmed immediately after being caught on Maryville (Mozingo Lake) and Memphis (Lake Showme).

*AUTHORITY: sections 40 and 45 of Art. IV, Mo. Const. This rule previously filed as 3 CSR 10-4.116. Original rule filed April 30, 2001, effective Sept. 30, 2001. Amended: Filed Aug. 30, 2001.*

*PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.*

*PRIVATE COST: This proposed amendment will not cost private entities more than five hundred dollars (\$500) in the aggregate.*

*NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with John W. Smith, Deputy Director, Department of Conservation, PO Box 180, Jefferson City, MO 65102. To be considered, comments must be received within thirty (30) days after publication of this notice in the Missouri Register. No public hearing is scheduled.*

**Title 13—DEPARTMENT OF SOCIAL SERVICES  
 Division 70—Division of Medical Services  
 Chapter 10—Nursing Home Program**

**PROPOSED AMENDMENT**

**13 CSR 70-10.110 Nursing Facility Reimbursement Allowance.**  
 The division is amending section (1) and section (2).

*PURPOSE: This amendment provides for the Nursing Facility Reimbursement Allowance of seven dollars and thirty cents (\$7.30) per patient occupancy day, effective July 1, 2001. It also clarifies the NFRA for nursing facilities that merge and payment of the NFRA.*

(1) Nursing Facility Reimbursement Allowance (NFRA). NFRA shall be assessed as described in this section.

(B) Each nursing facility, except any nursing facility operated by the Department of Mental Health, engaging in the business of providing nursing facility services in Missouri shall pay a Nursing Facility Reimbursement Allowance (NFRA).

1. The NFRA owed for existing nursing facilities shall be calculated by multiplying the NFRA rate by the annualized level of patient occupancy days from the applicable Division of Aging ICF/SNF Certificate of Need Quarterly Survey. The NFRA shall be divided by and collected over the number of months for which each NFRA rate is effective. The NFRA rates, effective dates and applicable quarterly surveys are set forth in section (2).

**A. Exceptions.**

(I) If an existing nursing facility's applicable quarterly survey, as set forth in section (2), does not represent a full quarter's worth of days due to a termination, temporary closure, change of ownership, etc., the patient occupancy days used to determine the NFRA shall be the greater of:

(a) The quarterly survey immediately prior to the applicable quarterly survey, if it represents a full quarter's worth of days; or

(b) Fifty percent (50%) of licensed beds.

(II) If an existing nursing facility did not have patient occupancy information included on the applicable quarterly survey due to a termination, temporary closure, change of ownership, etc., the patient occupancy days used to determine the NFRA shall be the greater of:

(a) The quarterly survey immediately prior to the applicable quarterly survey, if it represents a full quarter's worth of days; or

(b) Fifty percent (50%) of licensed beds.

(III) If a nursing facility has ICF licensed beds and SNF licensed beds and none of the beds are Medicaid certified, only the SNF beds are subject to NFRA. The patient occupancy days used to determine the NFRA shall be determined by multiplying the occupancy percentage from the applicable quarterly survey by the annualized level of patient occupancy days based on the SNF licensed beds.

(IV) If two (2) existing nursing facilities merge, with one (1) nursing facility terminating and transferring its beds to the remaining facility, the NFRA for the two (2) previously

**independent nursing facilities shall be added together and assessed to the remaining facility.**

2. The initial NFRA owed by a newly licensed nursing facility that just opened as a result of receiving a Certificate of Need (CON) for a new nursing facility shall be calculated by multiplying the NFRA rate by the annualized level of patient occupancy days based on fifty percent (50%) of licensed beds. The NFRA shall be prorated for the number of months remaining in the NFRA period. If a nursing facility's licensure date is after the first day of a month, the NFRA will be collected beginning with the first day of the month following the actual licensure date.

3. If a nursing facility ceases to provide nursing facility services, the nursing facility is not required to pay the NFRA during the months in which it does not have residents, even though it may retain a license due to temporary closure for renovations, replacement, etc. If the facility reopens, it shall resume paying the NFRA. It shall owe the same NFRA as it did prior to closing, if the NFRA has not changed per section (2) below. If the NFRA has changed, the facility shall be assessed in accordance with paragraph (1)(B)1. above.

(D) The department shall prepare a confirmation schedule of the information from each nursing facility's 1994 second quarterly survey from the Division of Aging and provide each nursing facility with this schedule.

1. This schedule shall include:

- A. Provider name;
- B. Provider number; and
- C. Total patient occupancy days.

2. Each nursing facility required to pay the Nursing Facility Reimbursement Allowance shall review the information in the schedule referenced in paragraph (1)(D)1. of this regulation and provide the department with correct information. If the information supplied by the department is incorrect, the facility within thirty (30) calendar days of receiving the confirmation schedule must notify the division and explain the corrections. If the division does not receive corrected information within thirty (30) calendar days, it will be assumed to be correct, unless the nursing facility files a protest in accordance with subsection (1)/(E)/(F) of this regulation.

**[3.] (E) Payment of the NFRA.**

1. **Offset.** Each nursing facility may request that their Nursing Facility Reimbursement Allowance be offset against any Missouri Medicaid payment due to that nursing facility. A statement authorizing the offset must be on file with the division before any offset may be made relative to the nursing facility reimbursement allowance by the nursing facility. Assessments shall be allocated and deducted over the **applicable service period [covering services January 1995 through September 1995]. Any balance due after the offset shall be remitted by the nursing facility to the department. The remittance shall be made payable to the Director of the Department of Revenue and deposited in the state treasury to the credit of the Nursing Facility Reimbursement Allowance Fund. If the remittance is not received before the next Medicaid payment cycle, the division shall offset the balance due from that check.**

2. **Check.** If no offset has been authorized by the nursing facility, the division will begin collecting the nursing facility reimbursement allowance on **[January 1, 1995, and] the first day of each month [thereafter]. The NFRA shall be remitted by the nursing facility to the department. The remittance shall be made payable to the Director of the Department of Revenue and deposited in the state treasury to the credit of the Nursing Facility Reimbursement Allowance Fund.**

3. **Failure to pay the NFRA.** If a nursing facility fails to pay its NFRA within thirty (30) days of notice, the NFRA shall be delinquent. For any delinquent NFRA, the department may proceed to enforce the state's lien of the property of the nursing facility, may cancel or refuse to issue, extend or reinstate the Medicaid provider agreement or may seek denial, suspension or revocation of license granted under Chapter 198, RSMo. The new owner, as

a result of a change in ownership, shall have his/her NFRA paid by the same method the previous owner elected.

**[4. The nursing facility reimbursement allowance owed or, if an offset has been requested, the balance due, if any, after such offset, shall be remitted by the nursing facility to the department monthly beginning with January 1995, and each month thereafter. The remittance shall be made payable to the Director of the Department of Revenue. The amount remitted shall be deposited in the state treasury to the credit of the Nursing Facility Reimbursement Allowance Fund.]**

**[E.] (F)** Each nursing facility, upon receiving written notice of the final determination of its Nursing Facility Reimbursement Allowance may file a protest with the director of the department setting forth the grounds on which the protest is based, within thirty (30) days from the date of receipt of written notice from the department. The director of the department shall reconsider the determination and, if the nursing facility so requested, the director or the director's designee shall grant the nursing facility a hearing to be held within forty-five (45) days after the protest is filed, unless extended by agreement between the nursing facility and the director. The director shall issue a final decision within forty-five (45) days of the completion of the hearing. After a final decision by the director, a nursing facility's appeal of the director's final decision shall be to the **[a]Administrative [h]Hearing [c]Commission** in accordance with sections 208.156, RSMo and 62.055, RSMo.

(2) NFRA Rates. The NFRA rates determined by the division, as set forth in (1)(B) above, are as follows:

(F) The NFRA will be seven dollars and four cents (\$7.04) per patient occupancy day, effective October 1, 1999. The applicable quarterly survey for this period shall be the Division of Aging's June 1999 quarterly survey; **[and]**

(G) The NFRA will be seven dollars and fifty cents (\$7.50) per patient occupancy day, effective July 1, 2000. The applicable quarterly survey for this period shall be the Division of Aging's December 1999 quarterly survey; **[and]**

**(H) The NFRA will be seven dollars and thirty cents (\$7.30) per patient occupancy day, effective July 1, 2001. The applicable quarterly survey for this period shall be the Division of Aging's December 2000 quarterly survey.**

*AUTHORITY: sections 198.401, 198.403, 198.406, 198.409, 198.412, 198.416, 198.418, 198.421, 198.424, 198.427, 198.431, 198.433[, and] 198.436[, RSMo Supp. 1999] and 208.201, RSMo [1994] 2000. Emergency rule filed Dec. 21, 1994, effective Jan. 1, 1995, expired April 30, 1995. Emergency rule filed April 21, 1995, effective May 1, 1995, expired Aug. 28, 1995. Original rule filed Dec. 15, 1994, effective July 30, 1995. For intervening history, please consult the Code of State Regulations. Emergency amendment filed Aug. 29, 2001, effective Sept. 8, 2001, expires March 6, 2002. Amended: Filed Aug. 29, 2001.*

*PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.*

*PRIVATE COST: This proposed amendment will cost private entities approximately \$116,126,320 annually.*

*NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with the Office of the Director, Division of Medical Services, 615 Howerton Court, Jefferson City, MO 65109. To be considered, comments must be received within thirty (30) days after publication of this notice in the Missouri Register. If to be hand-delivered, comments must be brought to the Division of Medical Services at 615 Howerton Court, Jefferson City, Missouri. No public hearing is scheduled.*

**FISCAL NOTE  
PRIVATE ENTITY COSTS****I. RULE NUMBER**Title : 13 - Department of Social ServicesDivision : 70 - Division of Medical ServicesChapter : 10 - Nursing Home ProgramType of Rulemaking : Proposed AmendmentRule Number and Name : 13 CSR 70-10.110 Nursing Facility Reimbursement Allowance**II. SUMMARY OF FISCAL IMPACT**

Estimate of the number of entities by class which would likely be affected by the adoption of the proposed rule:	Classification of the business entities which would likely be affected:	Estimate in the aggregate as to the cost of compliance with the rule by the affected entities:
565	Long term care facilities	Annual estimated cost: \$116,126,320

**III. WORKSHEET**

Annual days to be assessed	15,907,715
NFRA	<u>x \$7.30</u>
Annual estimated cost	<u>\$116,126,320</u>

**IV. ASSUMPTIONS**

The annual impact of \$116,126,320 is based on the SFY 02 assessed amount of \$7.30 per day multiplied by the estimated annualized occupied days of 15,907,715 from the Division of Aging's December 2000 quarterly survey.

The annual impact is based on 565 facilities which include some costs to small businesses.



**Title 13—DEPARTMENT OF SOCIAL SERVICES  
Division 70—Division of Medical Services  
Chapter 15—Hospital Program**

**PROPOSED AMENDMENT**

**13 CSR 70-15.010 Inpatient Hospital Services Reimbursement Plan; Outpatient Hospital Services Reimbursement Methodology.** The division is amending subsections (2)(C) and (3)(B), section (13), subsections (16)(A) and (B) and section (18).

*PURPOSE: The proposed amendment revises subsection (2)(C) to provide for the use of a twelve (12)-month cost report for the base year cost report when a hospital has both a twelve (12)-month and partial year cost report filed in a calendar year, subsection (3)(B) to provide for the trend index for SFY 2002, section (13) to provide for an adjustment to remove the interim settlement provision for disproportionate share hospitals and sections (16) and (18) to establish the percentage of uninsured costs the division will reimburse in SFY 2002.*

**(2) Definitions.**

(C) Base cost report. Desk-reviewed Medicare/Medicaid cost report. *[For the latest hospital fiscal year ending during the calendar year. (For example, a provider has a cost report for the nine (9) months ending 9/30/94 and a cost report for the three (3) months ending 12/31/94.)]* When a facility has more than one (1) cost report with periods ending in the fourth prior calendar year, the cost report covering a full twelve (12)-month period will be used. If none of the cost reports covers a full twelve (12) months, the cost report with the latest period will be used. If a hospital's base cost report is less than or greater than a twelve (12)-month period, the data shall be adjusted, based on the number of months reflected in the base cost report to a twelve (12)-month period.

(3) Per-Diem Reimbursement Rate Computation. Each hospital shall receive a Medicaid per-diem rate based on the following computation.

(B) Trend Indices (TI). Trend indices are determined based on the four (4)-quarter average DRI Index for DRI-Type Hospital Market Basket as published in *Health Care Costs* by DRI/McGraw-Hill for each State Fiscal Year (SFY) 1995 to 1998. Trend indices starting in SFY 1999 will be determined based on CPI Hospital indexed as published in *Health Care Costs* by DRI/McGraw-Hill for each State Fiscal Year (SFY).

1. The TI are—

- A. SFY 1994—4.6%
- B. SFY 1995—4.45%
- C. SFY 1996—4.575%
- D. SFY 1997—4.05%
- E. SFY 1998—3.1%
- F. SFY 1999—3.8%
- G. SFY 2000—4.0%
- H. SFY 2001—4.6%*[.]*
- I. SFY 2002—4.8%.

2. The TI for SFY 1996 through SFY 1998 are applied as a full percentage to the OC of the per-diem rate and for SFY 1999 the OC of the June 30, 1998 rate shall be trended by 1.2% and for SFY 2000 the OC of the June 30, 1999 rate shall be trended by 2.4%. The OC of the June 30, 2000 rate shall be trended by 1.95% for SFY 2001.

3. The per-diem rate shall be reduced as necessary to avoid any negative Direct Medicaid Payments computed in accordance with subsection (15)(B).

(13) Outpatient Hospital Services Reimbursement for Hospitals Located Within Missouri.

(A) Outpatient hospital services, unless otherwise limited by rule, shall be reimbursed on an interim basis by Medicaid at the lesser of seventy-five percent (75%) of usual and customary charges as billed by the provider for covered services or one hundred percent (100%) of the facility's Medicaid-allowable cost-to-charge ratio as determined *[by (B) or (C) of this subsection using]* from the most recent desk-reviewed cost report. Reimbursement at the applicable percentage shall be effective *[April 1, 1998,] July 1 of each SFY* for all providers and shall be subject to adjustment whenever the inpatient rate is changed.

1. All services provided to GR recipients will be reimbursed from the Medicaid fee schedule and shall be subject to adjustment whenever the inpatient rate is changed in accordance with provisions of 13 CSR 70-2.020.

2. Effective for dates of service September 1, 1985, and annually updated, certain clinical diagnostic laboratory procedures will be reimbursed from a Medicaid fee schedule which shall not exceed a national fee limitation.

3. Services of hospital-based physicians and certified registered nurse anesthetists shall be billed on an HCFA-1500 professional claim form and reimbursed from a Medicaid fee schedule or the billed charge, if less.

(B) *[The state agency shall review audited Medicaid-Medicare cost reports for each hospital's fiscal year and shall make indicated adjustments of additional payment or recoupment, in order that the hospital's net reimbursement (except for those hospitals identified in subsection (C) of this section) shall be in amounts representing not more than one hundred percent (100%) of the lesser of—] The final outpatient settlements for hospitals will be calculated for each fiscal year in accordance with 13 CSR 70-15.040(4).*

*[1. Reasonable costs as determined by the state agency's annual review of the participating hospital's outpatient fiscal year-end cost reports and reconciliation of the Medicaid allowable charges and reimbursement for Medicaid services provided during that fiscal year; or*

*2. Usual and customary charges as billed by the provider of services and as representing a prevailing charge in the locality for comparable services under comparable circumstances.*

*(C) All facilities which meet the Medicare criteria for exemption from the lower of cost or charge limitation as nominal charge providers for fiscal year cost determination shall have their net reimbursement determined at no more than one hundred percent (100%) of cost.*

*(D) Within ninety (90) days following the receipt of the complete unaudited Medicaid-Medicare cost report filed by the provider in accordance with subsection (5)(A) of this rule, interim outpatient settlements for facilities having a fiscal year-end subsequent to January 1, 1984, will be done after desk review of the report for only the following hospitals:*

*1. High volume Medicaid hospitals that serve a disproportionate number of low income recipients and meet the criteria defined in paragraphs (6)(A)2. and 3. of this rule. Interim settlements will be at not more than one hundred percent (100%) of the lower of unaudited costs of usual and customary charges for covered services; and*

*2. Hospitals as defined in subsection (C) of this section. Interim settlements will be at not more than one hundred percent (100%) of cost. A letter from Medicare attesting to the exemption must accompany the cost report.]*

*[(E)] (C) For reporting purposes in the outpatient Medicaid data, facilities shall not include services reimbursed from a fee schedule, which include services to GR recipients, the clinical diagnostic laboratory services [listed in paragraph (11)(A)2.]*

and services of hospital-based physicians and certified registered nurse anesthetists.

*[(F) The final outpatient settlements for hospitals will be calculated for each fiscal year in accordance with 13 CSR 70-15.040(4).]*

*[(G)] (D)* Outpatient hospital services provided for those recipients having available Medicare benefits shall be reimbursed by Medicaid to the extent of the deductible and coinsurance as imposed under Title XVIII.

(16) Safety Net Adjustment. A safety net adjustment, in lieu of the Direct Medicaid Payments and Uninsured Add-Ons, shall be provided for each hospital which qualified as disproportionate share under the provision of paragraph (6)(A)4. The safety net adjustment payment shall be made prior to the end of each federal fiscal year.

(A) The safety net adjustment for facilities *[not operated by the Department of Mental Health primarily for the care and treatment of mental disorders]* **which qualify under subparagraph (6)(A)4.A. of this regulation** shall be computed in accordance with the Direct Medicaid Payment calculation described in section (15) and the Uninsured Add-Ons calculation in subsection (18)(B) of this regulation. The safety net adjustment will include the last three (3) quarters of the SFY ending June 30 and the first quarter of the next SFY beginning July 1 to correspond with the FFY of October 1 to September 30.

(B) The safety net adjustment for facilities *[operated by the Department of Mental Health primarily for the care and treatment of mental disorders]* **which qualify under subparagraph (6)(A)4.B., (6)(A)4.C. or (6)(A)4.D. of this regulation** shall be computed in accordance with the Direct Medicaid Payment calculation described in section (15) and one hundred percent (100%) of the Uninsured costs calculation described in subsection (18)(B) of this regulation. The safety net adjustment will include the last three (3) quarters of the SFY ending June 30 and the first quarter of the next SFY beginning July 1 to correspond with the FFY of October 1 to September 30.

(18) In accordance with state and federal laws regarding reimbursement of unreimbursed costs and the costs of services provided to uninsured patients, reimbursement for each State Fiscal Year (SFY) (July 1–June 30) shall be determined as follows:

(B) Uninsured Add-Ons. The hospital shall receive *[seventy-six percent (76%)]* **eighty-nine percent (89%)** of the Uninsured costs prorated over the SFY. Hospitals which contribute through a plan approved by the director of health to support the state's poison control center and the Primary Care Resource Initiative for Missouri (PRIMO) shall receive *[seventy-seven percent (77%)]* **ninety percent (90%)** of its uninsured costs prorated over the SFY. The uninsured Add-On will include:

1. The Add-On payment for the cost of the Uninsured will be based on a three (3) year average of the fourth, fifth, and sixth prior base year cost reports. For any hospital that has both a twelve (12) month cost report and a partial year cost report, its base period cost report for that year will be the twelve (12) month cost report. Cost of the uninsured is determined by multiplying the charges for charity care and allowable bad debts by the hospital's total cost-to-charge ratio for allowable hospital services from the base year cost report's desk review. The cost of the Uninsured is then trended to the current year using the trend indices reported in subsection (3)(B). Allowable bad debts do not include the costs of caring for patients whose insurance covers the particular service, procedure or treatment;

2. An adjustment to recognize the Uninsured patients' share of the FRA assessment not included in the desk-reviewed cost. The FRA assessment for Uninsured patients is determined by multiplying the current FRA assessment by the ratio of uninsured days to total inpatient days from the base year cost report;

3. The difference in the projected General Relief per-diem payments and trended costs for General Relief patient days; and

4. The increased costs per day resulting from the utilization adjustment in subsection (15)(B) is multiplied by the estimated uninsured days.

*AUTHORITY: sections 208.152, 208.153, 208.201 and 208.471, RSMo 2000. This rule was previously filed as 13 CSR 40-81.050. Original rule filed Feb. 13, 1969, effective Feb. 23, 1969. For intervening history, please consult the Code of State Regulations. Amended: Filed Aug. 24, 2001.*

*PUBLIC COST: This proposed amendment is expected to cost state agencies and political subdivisions \$53,530,750 in SFY 2002 in the aggregate. A fiscal note containing details of the estimated cost of compliance has been filed with the secretary of state.*

*PRIVATE COST: This proposed amendment will cost private entities \$2,631,746 in the aggregate in SFY 2002. A fiscal note has been filed with the secretary of state.*

*NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with the Office of the Director, Division of Medical Services, 615 Howerton Court, Jefferson City, MO 65109. To be considered, comments must be received within thirty (30) days after publication of this notice in the Missouri Register. If to be hand-delivered, comments must be brought to the Division of Medical Services, 615 Howerton Court, Jefferson City, Missouri. No public hearing is scheduled.*

**FISCAL NOTE  
PUBLIC ENTITY COST**

**I. RULE NUMBER**

Title: 13 – Department of Social Services

Division: 70 – Division of Medical Services

Chapter: 15 – Hospital Program

Type of Rulemaking: Proposed Amendment

Rule Number and Name: 13 CSR 70-15.010 Inpatient Hospital Services Reimbursement Plan; Outpatient Hospital Services Reimbursement Methodology

**II. SUMMARY OF FISCAL IMPACT**

Affected Agency or Political Subdivision	Estimated Cost of Compliance in the Aggregate
Department of Social Services Division of Medical Services	\$53,530,750

**III. WORKSHEET**

The estimated annual impact is based on Direct Medicaid payments of \$168,366,310 and uninsured payments of \$306,656,503. The FRA funded Uninsured payments are based on 90% of the three-year average costs using 1996, 1997, and 1998 cost reports for non-safety net hospitals and any acute care safety net hospital licensed for fewer than 50 beds. An Acute care safety net hospital licensed for more than 50 beds will be paid 100% of its uninsured cost. Increasing the percent of uninsured cost as stated above from the 77% paid in SFY 01 results in additional payments of \$53,530,750 which is reported in the cost of compliance.

**IV. ASSUMPTIONS**

The hospitals uninsured payments will be based on ninety percent (90%) of the three year average cost of the uninsured from 1996, 1997, and 1998 cost reports trended to SFY 2002. The Direct Medicaid payment will be established for the safety net hospitals based on the determination of the Division of Medical Services, exercising its sole discretion as to which of the third, fourth or fifth prior year cost report is most representative of costs incurred; First tier DSH hospitals based on the determination of the Division of Medical Services, exercising its sole discretion as to which of the third, or fourth prior year cost report is most representative of costs incurred; and all other hospitals will use the 1998 cost report.

FISCAL NOTE  
PRIVATE ENTITY COST**I. RULE NUMBER**

Title: 13 – Department of Social Services

Division: 70 – Division of Medical Services

Chapter: 15 – Hospital Program

Type of Rulemaking: Proposed Amendment

Rule Number and Name: 13 CSR 70-15.010 Inpatient/Outpatient Hospital Services  
Reimbursement Plan**II. SUMMARY OF FISCAL IMPACT**

Estimate of the number of entities by class which would likely be affected by the adoption of the proposed rule:	Classification by types of the business entities which would likely be affected:	Estimate in the aggregate as to the cost of compliance with the rule by the affected entities:
131	Hospitals	\$2,631,746

**III. WORKSHEET**

The cost of compliance was calculated by dividing the outpatient payment paid on a percentage basis during calendar year 2000 trended to SFY 2002 by the hospital's outpatient cost-to-charge ratio from the 1997 cost report to estimate charges and multiplying the estimated charge by the outpatient cost-to-charge ratio from the most current desk reviewed cost report to estimate SFY 2002 payments. The difference is the Private entity cost.

**IV. ASSUMPTIONS**

The assumptions are using the outpatient cost-to-charge ratio from the most current desk reviewed cost report will allow the hospital to receive an interim payment that relates to it current cost. This should reduce the amount due to or from a hospital when its final settlement is calculated.

**Title 13—DEPARTMENT OF SOCIAL SERVICES  
Division 70—Division of Medical Services  
Chapter 15—Hospital Program**

**PROPOSED AMENDMENT**

**13 CSR 70-15.040 Inpatient Hospital and Outpatient Hospital Settlements.** The division is amending subsections (4)(A), (B) and (E) and section (5).

*PURPOSE: The amendment to subsection (4)(A) clarifies the percent of outpatient costs that will be paid when final settlements are calculated. Settlements calculated for a hospital's outpatient services after the effective date of the amendment will be paid at the same percentage of a hospital's cost as the interim outpatient services were paid for that time period in 13 CSR 70-15.010. That is service prior to January 5, 1994 will be settled at eighty percent (80%), services after January 4, 1994 and before April 1, 1998 will be settled at ninety percent (90%), and services after March 31, 1998 will be settled at one hundred percent (100%) of the lower of the hospital's costs or usual and customary charges.*

(4) Outpatient Hospital Settlements, Provider Based Rural Health Clinic (PBRHC) settlements or Provider Based Federally Qualified Health Centers (PBFQHC) settlements will be calculated after the division receives the Medicare/Medicaid cost report with a NPR from the hospital's fiscal intermediary.

(A) The Division of Medical Services shall adjust the hospital's outpatient Medicaid payments, PBRHC or PBFQHC Medicaid payments **to conform with the percent of cost paid on an interim basis under 13 CSR 70-15.010(13)(A) for the appropriate time period** (except for those hospitals that qualify under subsection (4)(B), whose payments will be based on the percent of cost in paragraph (4)(A)1., [or] 2., or 3.) for—

1. Services prior to January 5, 1994, the lower of eighty percent (80%) of the outpatient share of the costs from subsection (4)(D), or eighty percent (80%) of the outpatient charges from paragraph (4)(C)1.;

2. Services after January 4, 1994 and prior to April 1, 1998, the lower of ninety percent (90%) of the outpatient share of the cost from subsection (4)(D), or ninety percent (90%) of the outpatient charge from paragraph (4)(C)1.; [and]

3. Services after March 31, 1998, the lower of one hundred percent (100%) of the outpatient share of the cost from subsection (4)(D), or one hundred percent (100%) of the outpatient charge from paragraph (4)(C)1.; and

[3.] 4. PBRHC and PBFQHC shall be reimbursed one hundred percent (100%) [of the lower] of its share of the cost in [subsection] paragraph (4)(D)(E)2. [or its charges in paragraph (4)(C)2.]

(B) A facility that meets the Medicare criteria of nominal charge provider for the fiscal period shall have its net cost reimbursement based on its cost in paragraph (4)(A)1., [or] 2., or 3.

(E) The Medicaid outpatient final settlement will determine either an overpayment or an underpayment for the hospital's outpatient services and PBRHC or PBFQHC.

1. The outpatient Medicaid cost determined in subsection (4)(D) is multiplied by the percent of cost allowed in paragraph (4)(A)1., [or] 2., or 3., to determine the reimbursable cost for outpatient services. (If a cost report covers both periods the outpatient Medicaid charges will be split to determine the reimbursable cost for each time period.) From this cost subtract the outpatient payments made on a percentage of charge basis under 13 CSR 70-15.010 for the time period. (Medicaid payments include the actual payment by Medicaid, third party payments, coinsurance and deductibles.) The difference is either an overpayment (negative amount) due from provider or underpayment (positive amount) due to provider; and

2. For PBRHC or PBFQHC services multiply the PBRHC or PBFQHC Medicaid charges from paragraph (4)(C)2., by the cost center's cost-to-charge ratio to determine PBRHC or PBFQHC cost. From this cost, the PBRHC or PBFQHC payments associated with charges from paragraph (4)(C)2., are subtracted. The difference is either an overpayment (negative amount) due from provider or underpayment (positive amount) due to provider.

(5) Reopened cost reports received after the division has completed a final settlement will be calculated in the same manner as the original settlement. **The division will not reopen any cost report when the amended NPR is received more than five (5) years after the hospital's fiscal year end unless the reopening is due to the provider submitting false or fraudulent information to its cost report.** If the amended cost report changes the previous settlement by less than one hundred dollars (\$100) the cost report will not be reopened. If the prior settlement(s) resulted in an overpayment on the inpatient side, then an underpayment, up to the amount of the net inpatient recoupment, may be made.

*AUTHORITY: sections 208.152, 208.153, 208.201 and 208.471, RSMo [1994] 2000. Original rule filed June 2, 1994, effective Dec. 30, 1994. Amended: Filed June 3, 1997, effective Dec. 30, 1997. Amended: Filed May 14, 1999, effective Nov. 30, 1999. Amended: Filed June 15, 1999, effective Dec. 30, 1999. Amended: Filed Aug. 24, 2001.*

*PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.*

*PRIVATE COST: This proposed amendment will not cost private entities more than five hundred dollars (\$500) in the aggregate.*

*NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with the Office of the Director, Division of Medical Services, 615 Howerton Court, Jefferson City, MO 65109. To be considered, comments must be received within thirty (30) days after publication of this notice in the Missouri Register. If to be hand-delivered, comments must be brought to the Division of Medical Services at 615 Howerton Court, Jefferson City, Missouri. No public hearing is scheduled.*

**Title 13—DEPARTMENT OF SOCIAL SERVICES  
Division 70—Division of Medical Services  
Chapter 50—Hospice Services Program**

**PROPOSED AMENDMENT**

**13 CSR 70-50.010 Hospice Services Program.** The division is amending sections (2), (3), (4), (5), and (7), and deleting the form that follows this rule in the *Code of State Regulations*.

*PURPOSE: This proposed amendment will reflect the changes to the Hospice Program contained in the Balanced Budget Act of 1997 (BBA) related to extending the period for completion of the physicians' certification of terminal illness, restructure of the benefit periods, definition of hospice care, and the deletion of physician service as a core service.*

(2) Persons Eligible. Any person who is eligible for medical assistance benefits from the Department of Social Services is certified by a physician to be terminally ill with a medical prognosis of life expectancy of six (6) months or less **if the illness runs its normal course** and who elects hospice benefits is eligible. The individual must agree to seek only palliative care for the duration of the hospice enrollment.

(3) Enrollment of Recipient. The components involved in hospice enrollment are—physician certification; election procedures, including election statement, revocation and change; the assignment of an attending physician; and the development of the plan of care.

(A) Physician Certification. The hospice must obtain the certification that an individual is terminally ill in accordance with the following procedures:

1. **Prior to billing** /F/for the first period of hospice coverage (ninety (90) days), the hospice must obtain, *[no later than two (2) calendar days after hospice care is initiated,]* written certification statements signed by the medical director of the hospice or the physician member of the hospice interdisciplinary group and the individual's attending physician (if that attending physician is other than a hospice staff member). The certification must include the statement that the individual's medical prognosis is a life expectancy of six (6) months or less **if the illness runs its normal course** and the signature(s) of the physician(s). If the hospice does not obtain written physician certification within two (2) days of the initiation of hospice care, a verbal physician certification *[may]* **must** be obtained within the two (2) days. *[However, a written certification must be obtained no later than eight (8) days after care is initiated.]* Payment will not be made for days prior to the written certification if the verbal certification requirement is not met; *and*].

2. For any subsequent period, **of hospice coverage**, the hospice must obtain, no later than two (2) calendar days after the beginning of that period, a written certification statement prepared by the medical director of the hospice or the physician member of the hospice's interdisciplinary group. The certification must include the statement that the individual's medical prognosis is a life expectancy of six (6) months or less **if the illness runs its normal course** and the signature~~[(s)]~~ of the physician~~[(s)]~~. The hospice must maintain the certification statements.

(B) Election Procedures. To elect hospice services, an individual must file a *[Missouri Medicaid]* Hospice Election Statement *[(MO 886-2491)]* with a Medicaid participating hospice provider. An election may also be filed by a representative acting pursuant to state law. With respect to an individual granted the power of attorney for the recipient, state law determines the extent to which the individual may act on the patient's behalf.

1. Election period. An election to receive hospice care will be considered to continue through the initial election period and through any subsequent election periods without a break in care as long as the individual remains in the care of the hospice and does not revoke the election.

2. Waiver of Medicaid fee-for-service payments related to the terminal illness. In order to elect hospice services, the individual must waive all rights to Medicaid payments for services that would be covered under the Medicare program for the duration of the election of hospice care for the following services:

A. Hospice care provided by a hospice other than the hospice designated by the individual (unless provided under arrangements made by the designated hospice); and

B. Any Medicaid services that are related to the treatment of the terminal condition for which hospice care was elected or a related condition, or that are equivalent to hospice care except for services—

(I) Provided (either directly or under arrangement) by the designated hospice;

(II) Provided by another hospice under arrangements made by the designated hospice; or

(III) Provided by the individual's attending physician if that physician is not an employee of the designated hospice or receiving compensation from the hospice for those services.

3. Election, revocation and change of hospice.

A. Election periods. *[The periods of care are available in the order listed as follows and may be elected sepa-*

*rately at different times.]* An individual may elect to receive hospice care during one (1) or more of the following election periods:

(I) An initial ninety (90)-day period;

(II) A subsequent ninety (90)-day period; **and**

*[[III]] A subsequent thirty (30)-day period; and*

*[[IV]] (III) Unlimited subsequent [ninety (90)] sixty (60)-day periods.*

B. Election statement. The election statement must include the following items of information:

(I) Identification of the particular hospice that will provide care to the individual;

(II) The individual's or representative's acknowledgment that s/he has been given a full understanding of hospice care;

(III) The individual's or representative's acknowledgment that s/he understands that certain Medicaid services are waived by the election;

(IV) The effective date of the election;

(V) The name of the attending physician;

(VI) The signature of the individual or representative; *and*

(VII) The signature of the witness when the recipient's representative signs the form.

C. Revocation. An individual or representative may revoke the election of hospice care at any time. To revoke the election of hospice care, the individual, or representative, must file a revocation of hospice benefit statement with the hospice. This statement must include a signed statement that the individual revokes the election for Medicaid coverage of hospice care for the remainder of that election period. The date that the revocation is to be effective is the date of the signature or may be a later date subsequent to the date of signature. The individual forfeits coverage for any remaining days in that election period. The individual or representative, may not designate an effective date earlier than the date that the revocation statement is signed. Upon revoking the election of Medicaid coverage of hospice care for a particular election period, an individual resumes Medicaid coverage of the benefits waived when hospice care was elected. An individual may elect at any time to receive hospice coverage for any other hospice election periods for which s/he is eligible.

D. Change of hospice. An individual may change, once in each election period, the designation of the particular hospice from which s/he elects to receive hospice care. The change of the designated hospice is not considered a revocation of the election. To change the designation of hospice providers, the individual must file with the hospice from which s/he has received care and with the newly designated hospice a signed statement that includes the following information: the name of the hospice from which the individual has received care, the name of the hospice from which s/he plans to receive care and the date the change is to be effective.

(4) Provider Participation. To be eligible for participation in the Missouri Medicaid Hospice Program, a provider must meet the following criteria:

(A) Be certified as a Medicare hospice provider; *and*

**(B) Be licensed by the Missouri State Department of Health as a hospice provider; and**

*[(B)] (C) Be enrolled as a Medicaid hospice provider.*

(5) Benefits and Limitations. All services must be performed by appropriately qualified personnel. Nursing care, *[physician's services,]* medical social services and counseling are core hospice services and must routinely be provided directly by hospice employees. A hospice must ensure that substantially all the core services are routinely provided directly by hospice employees. A hospice may use contracted staff, if necessary, to supplement hospice employees in order to meet the needs of patients during peri-

ods of peak patient loads or under extraordinary circumstances. If contracting is used, the hospice must maintain professional, financial and administrative responsibility for the services and must assure that the qualifications of staff and services provided meet all requirements. The following services are hospice-covered services when specified in the individual's plan of care:

(C) Physician's services performed **either directly or under contract with the hospice** by a doctor of medicine or osteopathy to meet the general medical needs of the individual to the extent that these needs are not met by the attending physician;

(M) Homemaker services furnished to provide assistance in personal care, maintenance of a safe and healthy environment and services to enable the individual to carry out the treatment plan; *[and]*

(N) Physical therapy, occupational therapy and speech/language pathology services for purposes of symptom control or to enable the individual to maintain activities of daily living and basic functional skills. When provided, the services must be offered in a manner consistent with accepted standards of practice~~/.~~; **and**

**(O) Any other item or service which is specified in a patient's Plan of Care and for which Medicaid may pay.**

(6) The following services are not covered through the hospice program:

(A) Any services provided by inappropriately qualified personnel;

(B) Any service or treatment not listed in the individual's plan of care;

(C) Any service or treatment that is not directly related to pain control or palliation of the recipient's terminal illness;

(D) Nurse's aide services not under the supervision of an RN;

(E) Inpatient services beyond the boundaries of the inpatient cap; and

(F) Respite care over five (5) days per calendar month.

(7) Reimbursement. Hospice services, as defined in this rule and provided by qualified providers, shall be reimbursed for dates of service beginning on or after May 15, 1989. The reimbursement rate for hospice services includes all covered services related to the treatment of the terminal illness, including the administrative and general supervisory activities performed by physicians who are employees of or working under arrangements made with the hospice. These activities would generally be performed by the physician serving as the medical director and the physician member of the hospice interdisciplinary group. Group activities would include participation in the establishment of plans of care, supervision of care and services, periodic review and updating of plans of care and establishment of governing policies. The costs for these services are included in the reimbursement rates for routine home care, continuous home care and inpatient respite care.

(A) A per-diem rate for each day on which hospice services are provided will be established based on the Title XVIII Medicare rate for the specific hospice based on the level of care provided—

1. Routine home care;

2. Continuous home care. A minimum of eight (8) hours of continuous care must be provided during a twenty-four (24)-hour period;

3. General inpatient care; and

4. Inpatient respite care. Reimbursement is limited to five (5) *[consecutive]* days per calendar month and to the mandatory inpatient day limit.

(B) Nursing Home Room and Board. Medicaid-eligible individuals residing in Medicaid-certified NFs who meet the hospice eligibility criteria may elect Medicaid hospice care services. In addition to the routine home care or continuous home care per-diem rates, an amount may be paid to the hospice to cover the nursing home room and board costs. The hospice will reimburse the nursing home. Room and board include the performance of personal

care services that a care giver would provide if the individual were at home. These services include assistance in the activities of daily living: washing and grooming, toileting, dressing, meal service, socializing (companionship, hobbies, and the like), administration of medication, maintaining the cleanliness of the resident's bed and room and supervising and assisting in the use of durable medical equipment and prescribed therapies (for example, range of motion exercises, speech and language exercises).

1. There must be a written agreement between the hospice and the nursing home under which the hospice takes full responsibility for the professional management of the individual's hospice care and the nursing home agrees to provide room and board to the individual. The hospice and the nursing home will retain a copy of the agreement *[and one (1) copy must be on file at the Division of Medical Services]*.

2. For purposes of the Medicaid hospice benefit, *[an]* a NF can be considered the individual's residence.

3. Payment for NF room and board will be determined in accordance with rates established under section 1902(a)(13) of the Social Security Act.

*AUTHORITY: sections 208.152, [RSMo Supp. 1993,] 208.153[, RSMo Supp. 1991] and 208.201, RSMo [Supp. 1987] 2000. Emergency rule filed May 17, 1989, effective May 27, 1989, expired Sept. 13, 1989. Original rule filed May 17, 1989, effective Aug. 11, 1989. Amended: Filed June 18, 1991, effective Dec. 9, 1991. Amended: Filed Sept. 2, 1993, effective April 9, 1994. Amended: Filed Aug. 24, 2001.*

*PUBLIC COST: This proposed amendment will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.*

*PRIVATE COST: This proposed amendment will not cost private entities more than five hundred dollars (\$500) in the aggregate.*

*NOTICE TO SUBMIT COMMENTS: Anyone may file a statement in support of or in opposition to this proposed amendment with the Director, Division of Medical Services, 615 Howerton Court, Jefferson City, MO 65109. To be considered, comments must be received within thirty (30) days after publication of this notice in the Missouri Register. If to be hand-delivered, comments must be brought to the Division of Medical Services at 615 Howerton Court, Jefferson City, Missouri. No public hearing is scheduled.*

## **Title 20—DEPARTMENT OF INSURANCE Division 100—Division of Consumer Affairs Chapter 6—Privacy of Consumer Information**

### **PROPOSED RULE**

#### **20 CSR 100-6.100 Privacy of Financial Information**

*PURPOSE: The purpose of this proposed rule is to effectuate, interpret and carry out the provisions of section 362.422, RSMo Supp. 2001, regarding the disclosure of nonpublic personal information in violation of Title V of the Gramm-Leach-Bliley Financial Modernization Act of 1999.*

(1) Definitions. As used in this rule, unless the context requires otherwise:

(A) "Affiliate" means any company that controls, is controlled by or is under common control with another company.

(B) "Clear and conspicuous" means that a notice is reasonably understandable and designed to call attention to the nature and significance of the information in the notice. For example:

1. Reasonably understandable. A licensee makes its notice reasonably understandable if it:

A. Presents the information in the notice in clear, concise sentences, paragraphs, and sections;

B. Uses short explanatory sentences or bullet lists whenever possible;

C. Uses definite, concrete, everyday words and active voice whenever possible;

D. Avoids multiple negatives;

E. Avoids legal and highly technical business terminology whenever possible; and

F. Avoids explanations that are imprecise and readily subject to different interpretations.

2. Designed to call attention. A licensee designs its notice to call attention to the nature and significance of the information in it if the licensee:

A. Uses a plain-language heading to call attention to the notice;

B. Uses a typeface and type size that are easy to read;

C. Provides wide margins and ample line spacing;

D. Uses boldface or italics for key words; and

E. In a form that combines the licensee's notice with other information, uses distinctive type size, style, and graphic devices, such as shading or sidebars.

3. Notices on web sites. If a licensee provides a notice on a web page, the licensee designs its notice to call attention to the nature and significance of the information in it if the licensee uses text or visual cues to encourage scrolling down the page if necessary to view the entire notice and ensure that other elements on the web site (such as text, graphics, hyperlinks or sound) do not distract attention from the notice, and the licensee either:

A. Places the notice on a screen that consumers frequently access, such as a page on which transactions are conducted; or

B. Places a link on a screen that consumers frequently access, such as a page on which transactions are conducted, that connects directly to the notice and is labeled appropriately to convey the importance, nature and relevance of the notice.

(C) "Collect" means to obtain information that the licensee organizes or can retrieve by the name of an individual or by identifying number, symbol or other identifying particular assigned to the individual, irrespective of the source of the underlying information.

(D) "Director" means the director of the Missouri Department of Insurance.

(E) "Company" means a corporation, limited liability company, business trust, general or limited partnership, association, sole proprietorship or similar organization.

(F) "Consumer" means an individual who seeks to obtain, obtains or has obtained an insurance product or service from a licensee that is to be used primarily for personal, family or household purposes, and about whom the licensee has nonpublic personal information, or that individual's legal representative. For example:

1. An individual who provides nonpublic personal information to a licensee in connection with obtaining or seeking to obtain financial, investment or economic advisory services relating to an insurance product or service is a consumer regardless of whether the licensee establishes an ongoing advisory relationship;

2. An applicant for insurance prior to the inception of insurance coverage is a licensee's consumer;

3. An individual who is a consumer of another financial institution is not a licensee's consumer solely because the licensee is acting as agent for, or provides processing or other services to, that financial institution;

4. An individual is a licensee's consumer if:

A. The individual is:

(I) A beneficiary of a life insurance policy underwritten by the licensee;

(II) A claimant under an insurance policy issued by the licensee;

(III) An insured or an annuitant under an insurance policy or an annuity, respectively, issued by the licensee;

(IV) A mortgagor of a mortgage covered under a mortgage insurance policy; and

B. The licensee discloses nonpublic personal financial information about the individual to a nonaffiliated third party other than as permitted under subsections (4)(A), (4)(B), and (4)(C) of this rule;

5. Provided that the licensee provides the initial, annual and revised notices under subsections (2)(A), (2)(B), and (2)(E) of this rule to the plan sponsor, group or blanket insurance policyholder or group annuity contractholder, and further provided that the licensee does not disclose to a nonaffiliated third party nonpublic personal financial information about such an individual other than as permitted under subsections (4)(A), (4)(B), and (4)(C) of this rule, an individual is not the consumer of the licensee solely because he or she is:

A. A participant or a beneficiary of an employee benefit plan that the licensee administers or sponsors or for which the licensee acts as a trustee, insurer or fiduciary;

B. Covered under a group or blanket insurance policy or group annuity contract issued by the licensee;

6. The individuals described in subparagraphs (1)(F)5.A. through (1)(F)5.C. are consumers of a licensee if the licensee does not meet all the conditions of paragraph (1)(F)5. In no event shall the individuals, solely by virtue of the status described in subparagraphs (1)(F)5.A. through (1)(F)5.C. of this subsection, be deemed to be customers for purposes of this rule;

7. An individual is not a licensee's consumer solely because he or she is a beneficiary of a trust for which the licensee is a trustee; and

8. An individual is not a licensee's consumer solely because he or she has designated the licensee as trustee for a trust.

(G) "Consumer reporting agency" has the same meaning as in section 603(f) of the federal Fair Credit Reporting Act (15 U.S.C. 1681a(f)).

(H) "Control" means:

1. Ownership, control or power to vote twenty-five percent (25%) or more of the outstanding shares of any class of voting security of the company, directly or indirectly, or acting through one (1) or more other persons;

2. Control in any manner over the election of a majority of the directors, trustees or general partners (or individuals exercising similar functions) of the company; or

3. The power to exercise, directly or indirectly, a controlling influence over the management or policies of the company, as the commissioner determines.

(I) "Customer" means a consumer who has a customer relationship with a licensee.

(J) "Customer relationship" means a continuing relationship between a consumer and a licensee under which the licensee provides one or more insurance products or services to the consumer that are to be used primarily for personal, family or household purposes. Examples.

1. A consumer has a continuing relationship with a licensee if:

A. The consumer is a current policyholder of an insurance product issued by or through the licensee; or

B. The consumer obtains financial, investment or economic advisory services relating to an insurance product or service from the licensee for a fee.

2. A consumer does not have a continuing relationship with a licensee if:

A. The consumer applies for insurance but does not purchase the insurance;

B. The licensee sells the consumer airline travel insurance in an isolated transaction;



C. The individual is no longer a current policyholder of an insurance product or no longer obtains insurance services with or through the licensee;

D. The consumer is a beneficiary or claimant under a policy and has submitted a claim under a policy choosing a settlement option involving an ongoing relationship with the licensee;

E. The consumer is a beneficiary or a claimant under a policy and has submitted a claim under that policy choosing a lump sum settlement option;

F. The customer's policy is lapsed, expired, or otherwise inactive or dormant under the licensee's business practices, and the licensee has not communicated with the customer about the relationship for a period of twelve (12) consecutive months, other than annual privacy notices, material required by law or rule, communication at the direction of a state or federal authority, or promotional materials;

G. The individual is an insured or an annuitant under an insurance policy or annuity, respectively, but is not the policyholder or owner of the insurance policy or annuity; or

H. For the purposes of this rule, the individual's last known address according to the licensee's records is deemed invalid. An address of record is deemed invalid if mail sent to that address by the licensee has been returned by the postal authorities as undeliverable and if subsequent attempts by the licensee to obtain a current valid address for the individual have been unsuccessful.

(K) "Financial institution" means any institution the business of which is engaging in activities that are financial in nature or incidental to such financial activities as described in section 4(k) of the Bank Holding Company Act of 1956 (12 U.S.C. 1843(k)).

1. Financial institution does not include:

A. Any person or entity with respect to any financial activity that is subject to the jurisdiction of the Commodity Futures Trading Commission under the Commodity Exchange Act (7 U.S.C. 1 *et seq.*);

B. The Federal Agricultural Mortgage Corporation or any entity charged and operating under the Farm Credit Act of 1971 (12 U.S.C. 2001 *et seq.*); or

C. Institutions chartered by Congress specifically to engage in securitizations, secondary market sales (including sales of servicing rights) or similar transactions related to a transaction of a consumer, as long as the institutions do not sell or transfer nonpublic personal information to a nonaffiliated third party.

(L) "Financial product of service" means any product or service that a financial holding company could offer by engaging in an activity that is financial in nature or incidental to such a financial activity under section 4(k) of the Bank Holding Company Act of 1956 (12 U.S.C. 1843(k)). Financial service includes a financial institution's evaluation or brokerage of information that the financial institution collects in connection with a request or an application from a consumer for a financial product or service.

(M) "Insurance product or service" means any product or service that is offered by a licensee pursuant to the insurance laws of this state. Insurance service includes a licensee's evaluation, brokerage or distribution of information that the licensee collects in connection with a request or an application from a consumer for an insurance product or service.

(N) "Licensee" means all licensed insurers, producers and other persons licensed or required to be licensed, or authorized or required to be authorized, or registered or required to be registered by the director pursuant to the laws of this state.

1. A licensee is not subject to the notice and opt out requirements for nonpublic personal financial information set forth in sections (1), (2), (3), and (4) of this rule if the licensee is an employee, agent or other representative of another licensee ("the principal") and:

A. The principal otherwise complies with, and provides the notices required by, the provisions of this rule; and

B. The licensee does not disclose any nonpublic personal information to any person other than the principal or its affiliates in a manner permitted by this rule.

2. Nonadmitted insurers.

A. Subject to subparagraph (1)(N)1.B., "licensee" shall also include a non-admitted insurer that accepts business placed through a licensed surplus lines broker in this state, but only in regard to the surplus lines placements placed pursuant to Chapter 384, RSMo.

B. A surplus lines broker or surplus lines insurer shall be deemed to be in compliance with the notice and opt out requirements for nonpublic personal financial information set forth in sections (1), (2), (3), and (4) of this rule provided:

(I) The broker or insurer does not disclose nonpublic personal information of a consumer or a customer to nonaffiliated third parties for any purpose, including joint servicing or marketing under subsection (4)(A) of this rule, except as permitted by subsections (4)(B) or (4)(C) of this rule; and

(II) The broker or insurer delivers a notice to the consumer at the time a customer relationship is established on which the following is printed in sixteen (16)-point type:

#### PRIVACY NOTICE

NEITHER THE U.S. BROKERS THAT HANDLED THIS INSURANCE NOR THE INSURERS THAT HAVE UNDERWRITTEN THIS INSURANCE WILL DISCLOSE NONPUBLIC PERSONAL INFORMATION CONCERNING THE BUYER TO NONAFFILIATES OF THE BROKERS OR INSURERS EXCEPT AS PERMITTED BY LAW.

(O) "Nonaffiliated third party."

1. "Nonaffiliated third party" means any person except:

A. A licensee's affiliate; or

B. A person employed jointly by a licensee and any company that is not the licensee's affiliate (but nonaffiliated third party includes the other company that jointly employs the person).

2. Nonaffiliated third party includes any company that is an affiliate solely by virtue of the direct or indirect ownership or control of the company by the licensee or its affiliate in conducting merchant banking or investment banking activities of the type described in section 4(k)(4)(H) or insurance company investment activities of the type described in section 4(k)(4)(I) of the federal Bank Holding Company Act (12 U.S.C. 1843(k)(4)(H) and (I)).

(P) "Nonpublic personal information" means nonpublic personal financial information.

(Q) "Nonpublic personal financial information."

1. "Nonpublic personal financial information" means:

A. Personally identifiable financial information; and

B. Any list, description or other grouping of consumers (and publicly available information pertaining to them) that is derived using any personally identifiable financial information that is not publicly available.

2. Nonpublic personal financial information does not include:

A. Publicly available information, except as included on a list described in subparagraph (1)(Q)1.B.; or

B. Any list, description or other grouping of consumers (and publicly available information pertaining to them) that is derived without using any personally identifiable financial information that is not publicly available.

(I) Examples of lists.

(a) Nonpublic personal financial information includes any list of individuals' names and street addresses that is derived in whole or in part using personally identifiable financial information that is not publicly available, such as account numbers.

(b) Nonpublic personal financial information does not include any list of individuals' names and addresses that contains only publicly available information, is not derived in whole or in

part using personally identifiable financial information that is not publicly available, and is not disclosed in a manner that indicates that any of the individuals on the list is a consumer of a financial institution.

(R) "Personally identifiable financial information."

1. "Personally identifiable financial information" means any information:

A. A consumer provides to a licensee to obtain an insurance product or service from the licensee;

B. About a consumer resulting from a transaction involving an insurance product or service between a licensee and a consumer; or

C. The licensee otherwise obtains about a consumer in connection with providing an insurance product or service to that consumer.

2. Examples.

A. Information included. Personally identifiable financial information includes:

(I) Information a consumer provides to a licensee on an application to obtain an insurance product or service;

(II) Account balance information and payment history;

(III) The fact that an individual is or has been one of the licensee's customers or has obtained an insurance product or service from the licensee;

(IV) Any information about the licensee's consumer if it is disclosed in a manner that indicates that the individual is or has been the licensee's consumer;

(V) Any information that a consumer provides to a licensee or that the licensee or its agent otherwise obtains in connection with collecting on a loan or servicing a loan;

(VI) Any information the licensee collects through an Internet cookie (an information-collecting device from a web server); and

(VII) Information from a consumer report.

B. Information not included. Personally identifiable financial information does not include:

(I) A list of names and addresses of customers of an entity that is not a financial institution; and

(II) Information that does not identify a consumer, such as aggregate information or blind data that does not contain personal identifiers such as account numbers, names or addresses.

(S) "Publicly available information."

1. "Publicly available information" means any information that a licensee has a reasonable basis to believe is lawfully made available to the general public from:

A. Federal, state or local government records;

B. Widely distributed media; or

C. Disclosures to the general public that are required to be made by federal, state or local law.

2. Reasonable basis. A licensee has a reasonable basis to believe that information is lawfully made available to the general public if the licensee has taken steps to determine:

A. That the information is of the type that is available to the general public; and

B. Whether an individual can direct that the information not be made available to the general public and, if so, that the licensee's consumer has not done so.

3. Examples.

A. Government records. Publicly available information in government records includes information in government real estate records and security interest filings.

B. Widely distributed media. Publicly available information from widely distributed media includes information from a telephone book, a television or radio program, a newspaper or a web site that is available to the general public on an unrestricted basis. A web site is not restricted merely because an Internet service provider or a site operator requires a fee or a password, so long as access is available to the general public.

C. Reasonable basis.

(I) A licensee has a reasonable basis to believe that mortgage information is lawfully made available to the general public if the licensee has determined that the information is of the type included on the public record in the jurisdiction where the mortgage would be recorded.

(II) A licensee has a reasonable basis to believe that an individual's telephone number is lawfully made available to the general public if the licensee has located the telephone number in the telephone book or the consumer has informed you that the telephone number is not unlisted.

(2) Privacy and Opt Out Notices For Financial Information.

(A) Initial Privacy Notice to Consumers Required.

1. Initial notice requirement. A licensee shall provide a clear and conspicuous notice that accurately reflects its privacy policies and practices to:

A. Customer. An individual who becomes the licensee's customer, not later than when the licensee establishes a customer relationship, except as provided in paragraph (2)(A)5.; and

B. Consumer. A consumer, before the licensee discloses any nonpublic personal financial information about the consumer to any nonaffiliated third party, if the licensee makes a disclosure other than as authorized by subsections (4)(B) and (4)(C).

2. When initial notice to a consumer is not required. A licensee is not required to provide an initial notice to a consumer under subparagraph (2)(A)1.B. if:

A. The licensee does not disclose any nonpublic personal financial information about the consumer to any nonaffiliated third party, other than as authorized by subsections (4)(B) and (4)(C), and the licensee does not have a customer relationship with the consumer; or

B. A notice has been provided by an affiliated licensee, as long as the notice clearly identifies all licensees to whom the notice applies and is accurate with respect to the licensee and the other institutions.

3. When the licensee establishes a customer relationship.

A. General rule. A licensee establishes a customer relationship at the time the licensee and the consumer enter into a continuing relationship.

B. Examples of establishing customer relationship. A licensee establishes a customer relationship when the consumer:

(I) Becomes a policyholder of a licensee that is an insurer when the insurer delivers an insurance policy or contract to the consumer, or in the case of a licensee that is an insurance producer or insurance broker, obtains insurance through that licensee; or

(II) Agrees to obtain financial, economic or investment advisory services relating to insurance products or services for a fee from the licensee.

4. Existing customers. When an existing customer obtains a new insurance product or service from a licensee that is to be used primarily for personal, family or household purposes, the licensee satisfies the initial notice requirements of paragraph (2)(A)1. as follows:

A. The licensee may provide a revised policy notice, under subsection (2)(E), that covers the customer's new insurance product or service; or

B. If the initial, revised or annual notice that the licensee most recently provided to that customer was accurate with respect to the new insurance product or service, the licensee does not need to provide a new privacy notice under paragraph (2)(A)1.

5. Exceptions to allow subsequent delivery of notice.

A. A licensee may provide the initial notice required by paragraph (2)(A)1. of this section within a reasonable time after the licensee establishes a customer relationship if:

(I) Establishing the customer relationship is not at the customer's election; or

(II) Providing notice not later than when the licensee establishes a customer relationship would substantially delay the customer's transaction and the customer agrees to receive the notice at a later time.

B. Examples of exceptions.

(I) Not at customer's election. Establishing a customer relationship is not at the customer's election if a licensee acquires or is assigned a customer's policy from another financial institution or residual market mechanism and the customer does not have a choice about the licensee's acquisition or assignment.

(II) Substantial delay of customer's transaction. Providing notice not later than when a licensee establishes a customer relationship would substantially delay the customer's transaction when the licensee and the individual agree over the telephone to enter into a customer relationship involving prompt delivery of the insurance product or service.

(III) No substantial delay of customer's transaction. Providing notice not later than when a licensee establishes a customer relationship would not substantially delay the customer's transaction when the relationship is initiated in person at the licensee's office or through other means by which the customer may view the notice, such as on a web site.

6. Delivery. When a licensee is required to deliver an initial privacy notice by this section, the licensee shall deliver it according to subsection (2)(F). If the licensee uses a short-form initial notice for non-customers according to paragraph (2)(C)4., the licensee may deliver its privacy notice according to subparagraph (2)(C)4.C.

(B) Annual Privacy Notice to Customers Required.

1. General rule. A licensee shall provide a clear and conspicuous notice to customers that accurately reflects its privacy policies and practices not less than annually during the continuation of the customer relationship. Annually means at least once in any period of twelve (12) consecutive months during which that relationship exists. A licensee may define the twelve (12)-consecutive-month period, but the licensee shall apply it to the customer on a consistent basis.

2. Example. A licensee provides a notice annually if it defines the twelve (12)-consecutive-month period as a calendar year and provides the annual notice to the customer once in each calendar year following the calendar year in which the licensee provided the initial notice. For example, if a customer opens an account on any day of year 1, the licensee shall provide an annual notice to that customer by December 31 of year 2.

3. Termination of customer relationship. A licensee is not required to provide an annual notice to a former customer. A former customer is an individual with whom a licensee no longer has a continuing relationship.

A. Examples.

(I) A licensee no longer has a continuing relationship with an individual if the individual no longer is a current policyholder of an insurance product or no longer obtains insurance services with or through the licensee.

(II) A licensee no longer has a continuing relationship with an individual if the individual's policy is lapsed, expired or otherwise inactive or dormant under the licensee's business practices, and the licensee has not communicated with the customer about the relationship for a period of twelve (12) consecutive months, other than to provide annual privacy notices, material required by law or rule, or promotional materials.

(III) For the purposes of this rule, a licensee no longer has a continuing relationship with an individual if the individual's last known address according to the licensee's records is deemed invalid. An address of record is deemed invalid if mail sent to that address by the licensee has been returned by the postal authorities as undeliverable and if subsequent attempts by the licensee to obtain a current valid address for the individual have been unsuccessful.

(IV) A licensee no longer has a continuing relationship with a customer in the case of providing real estate settlement services, at the time the customer completes execution of all documents related to the real estate closing, payment for those services has been received, or the licensee has completed all of its responsibilities with respect to the settlement, including filing documents on the public record, whichever is later.

4. Delivery. When a licensee is required by this section to deliver an annual privacy notice, the licensee shall deliver it according to subsection (2)(F).

(C) Information to Be Included in Privacy Notices.

1. General rule. The initial, annual and revised privacy notices that a licensee provides under subsections (2)(A), (2)(B) and (2)(E) shall include each of the following items of information, in addition to any other information the licensee wishes to provide, that applies to the licensee and to the consumers to whom the licensee sends its privacy notice:

A. The categories of nonpublic personal financial information that the licensee collects;

B. The categories of nonpublic personal financial information that the licensee discloses;

C. The categories of affiliates and nonaffiliated third parties to whom the licensee discloses nonpublic personal financial information, other than those parties to whom the licensee discloses information under subsections (4)(B) and (4)(C);

D. The categories of nonpublic personal financial information about the licensee's former customers that the licensee discloses and the categories of affiliates and nonaffiliated third parties to whom the licensee discloses nonpublic personal financial information about the licensee's former customers, other than those parties to whom the licensee discloses information under subsections (4)(B) and (4)(C);

E. If a licensee discloses nonpublic personal financial information to a nonaffiliated third party under subsection (4)(A) (and no other exception in subsections (4)(B) and (4)(C) applies to that disclosure), a separate description of the categories of information the licensee discloses and the categories of third parties with whom the licensee has contracted;

F. An explanation of the consumer's right under paragraph (3)(A)1. to opt out of the disclosure of nonpublic personal financial information to nonaffiliated third parties, including the methods by which the consumer may exercise that right at that time;

G. Any disclosures that the licensee makes under section 603(d)(2)(A)(iii) of the federal Fair Credit Reporting Act (15 U.S.C. 1681a(d)(2)(A)(iii)) (that is, notices regarding the ability to opt out of disclosures of information among affiliates);

H. The licensee's policies and practices with respect to protecting the confidentiality and security of nonpublic personal information; and

I. Any disclosure that the licensee makes under paragraph (2)(C)2.

2. Description of parties subject to exceptions. If a licensee discloses nonpublic personal financial information as authorized under subsections (4)(B) and (4)(C), the licensee is not required to list those exceptions in the initial or annual privacy notices required by subsections (2)(A) and (2)(B). When describing the categories of parties to whom disclosure is made, the licensee is required to state only that it makes disclosures to other affiliated or nonaffiliated third parties, as applicable, as permitted by law.

3. Examples.

A. Categories of nonpublic personal financial information that the licensee collects. A licensee satisfies the requirement to categorize the nonpublic personal financial information it collects if the licensee categorizes it according to the source of the information, as applicable:

(I) Information from the consumer;

(II) Information about the consumer's transactions with the licensee or its affiliates;

(III) Information about the consumer's transactions with nonaffiliated third parties; and

(IV) Information from a consumer reporting agency.

B. Categories of nonpublic personal financial information a licensee discloses.

(I) A licensee satisfies the requirement to categorize nonpublic personal financial information it discloses if the licensee categorizes the information according to source, as described in subparagraph (2)(C)3.A., as applicable, and provides a few examples to illustrate the types of information in each category. These might include:

(a) Information from the consumer, including application information, such as assets and income and identifying information, such as name, address and social security number;

(b) Transaction information, such as information about balances, payment history and parties to the transaction; and

(c) Information from consumer reports, such as a consumer's creditworthiness and credit history.

(II) A licensee does not adequately categorize the information that it discloses if the licensee uses only general terms, such as transaction information about the consumer.

(a) If a licensee reserves the right to disclose all of the nonpublic personal financial information about consumers that it collects, the licensee may simply state that fact without describing the categories or examples of nonpublic personal information that the licensee discloses.

C. Categories of affiliates and nonaffiliated third parties to whom the licensee discloses.

(I) A licensee satisfies the requirement to categorize the affiliates and nonaffiliated third parties to which the licensee discloses nonpublic personal financial information about consumers if the licensee identifies the types of businesses in which they engage.

(II) Types of businesses may be described by general terms only if the licensee uses a few illustrative examples of significant lines of business. For example, a licensee may use the term financial products or services if it includes appropriate examples of significant lines of businesses, such as life insurer, automobile insurer, consumer banking or securities brokerage.

(III) A licensee also may categorize the affiliates and nonaffiliated third parties to which it discloses nonpublic personal financial information about consumers using more detailed categories.

D. Disclosures under exception for service providers and joint marketers. If a licensee discloses nonpublic personal financial information under the exception in subsection (4)(A) to a non-affiliated third party to market products or services that it offers alone or jointly with another financial institution, the licensee satisfies the disclosure requirement of subparagraph (2)(C)1.E. if it:

(I) Lists the categories of nonpublic personal financial information it discloses, using the same categories and examples the licensee used to meet the requirements of subparagraph (2)(C)1.B., as applicable; and

(II) States whether the third party is:

(a) A service provider that performs marketing services on the licensee's behalf or on behalf of the licensee and another financial institution; or

(b) A financial institution with whom the licensee has a joint marketing agreement.

E. Simplified notices. If a licensee does not disclose, and does not wish to reserve the right to disclose, nonpublic personal financial information about customers or former customers to affiliates or nonaffiliated third parties except as authorized under subsections (4)(B) and (4)(C), the licensee may simply state that fact, in addition to the information it shall provide under subparagraphs (2)(C)1.A., (2)(C)1.H., (2)(C)1.I., and paragraph (2)(C)2.

F. Confidentiality and security. A licensee describes its policies and practices with respect to protecting the confidentiali-

ty and security of nonpublic personal financial information if it does both of the following:

(I) Describes in general terms who is authorized to have access to the information; and

(II) States whether the licensee has security practices and procedures in place to ensure the confidentiality of the information in accordance with the licensee's policy. The licensee is not required to describe technical information about the safeguards it uses.

4. Short-form initial notice with opt out notice for non-customers.

A. A licensee may satisfy the initial notice requirements in subparagraph (2)(A)1.B. and paragraph (2)(D)4. for a consumer who is not a customer by providing a short-form initial notice at the same time as the licensee delivers an opt out notice as required in subsection (2)(D).

B. A short-form initial notice shall:

(I) Be clear and conspicuous;

(II) State that the licensee's privacy notice is available upon request; and

(III) Explain a reasonable means by which the consumer may obtain that notice.

C. The licensee shall deliver its short-form initial notice according to subsection (2)(F). The licensee is not required to deliver its privacy notice with its short-form initial notice. The licensee instead may simply provide the consumer a reasonable means to obtain its privacy notice. If a consumer who receives the licensee's short-form notice requests the licensee's privacy notice, the licensee shall deliver its privacy notice according to subsection (2)(F).

D. Examples of obtaining privacy notice. The licensee provides a reasonable means by which a consumer may obtain a copy of its privacy notice if the licensee:

(I) Provides a toll-free telephone number that the consumer may call to request the notice; or

(II) For a consumer who conducts business in person at the licensee's office, maintains copies of the notice on hand that the licensee provides to the consumer immediately upon request.

5. Future disclosures. The licensee's notice may include:

A. Categories of nonpublic personal financial information that the licensee reserves the right to disclose in the future, but does not currently disclose; and

B. Categories of affiliates or nonaffiliated third parties to whom the licensee reserves the right in the future to disclose, but to whom the licensee does not currently disclose, nonpublic personal financial information.

6. Sample clauses. Sample clauses illustrating some of the notice content required by this section are included herein as Appendix A of this rule.

(D) Form of Opt Out Notice to Consumers and Opt Out Methods.

1. Form of opt out notice. If a licensee is required to provide an opt out notice under paragraph (3)(A)1., it shall provide a clear and conspicuous notice to each of its consumers that accurately explains the right to opt out under that section. The notice shall state:

A. That the licensee discloses or reserves the right to disclose nonpublic personal financial information about its consumer to a nonaffiliated third party;

B. That the consumer has the right to opt out of that disclosure; and

C. A reasonable means by which the consumer may exercise the opt out right.

2. Examples.

A. Adequate opt out notice. A licensee provides adequate notice that the consumer can opt out of the disclosure of nonpublic personal financial information to a nonaffiliated third party if the licensee:

(I) Identifies all of the categories of nonpublic personal financial information that it discloses or reserves the right to disclose, and all of the categories of nonaffiliated third parties to which the licensee discloses the information, as described in subparagraphs (2)(C)1.B. and (2)(C)1.C., and states that the consumer can opt out of the disclosure of that information; and

(II) Identifies the insurance products or services that the consumer obtains from the licensee, either singly or jointly, to which the opt out direction would apply.

B. Reasonable opt out means. A licensee provides a reasonable means to exercise an opt out right if it:

(I) Designates check-off boxes in a prominent position on the relevant forms with the opt out notice;

(II) Includes a reply form together with the opt out notice;

(III) Provides an electronic means to opt out, such as a form that can be sent via electronic mail or a process at the licensee's web site, if the consumer agrees to the electronic delivery of information; or

(IV) Provides a toll-free telephone number that consumers may call to opt out.

C. Unreasonable opt out means. A licensee does not provide a reasonable means of opting out if:

(I) The only means of opting out is for the consumer to write his or her own letter to exercise that opt out right; or

(II) The only means of opting out as described in any notice subsequent to the initial notice is to use a check-off box that the licensee provided with the initial notice but did not include with the subsequent notice.

D. Specific opt out means. A licensee may require each consumer to opt out through a specific means, as long as that means is reasonable for that consumer.

3. Same form as initial notice permitted. A licensee may provide the opt out notice together with or on the same written or electronic form as the initial notice the licensee provides in accordance with subsection (2)(A).

4. Initial notice required when opt out notice delivered subsequent to initial notice. If a licensee provides the opt out notice later than required for the initial notice in accordance with subsection (2)(A), the licensee shall also include a copy of the initial notice with the opt out notice in writing or, if the consumer agrees, electronically.

5. Joint relationships.

A. If two (2) or more consumers jointly obtain an insurance product or service from a licensee, the licensee may provide a single opt out notice. The licensee's opt out notice shall explain how the licensee will treat an opt out direction by a joint consumer (as explained in subparagraph (2)(D)5.E.).

B. Any of the joint consumers may exercise the right to opt out. The licensee may either:

(I) Treat an opt out direction by a joint consumer as applying to all of the associated joint consumers; or

(II) Permit each joint consumer to opt out separately.

C. If a licensee permits each joint consumer to opt out separately, the licensee shall permit one (1) of the joint consumers to opt out on behalf of all of the joint consumers.

D. A licensee may not require all joint consumers to opt out before it implements any opt out direction.

E. Example. If John and Mary are both named policyholders on a homeowner's insurance policy issued by a licensee and the licensee sends policy statements to John's address, the licensee may do any of the following, but it shall explain in its opt out notice which opt out policy the licensee will follow:

(I) Send a single opt out notice to John's address, but the licensee shall accept an opt out direction from either John or Mary.

(II) Treat an opt out direction by either John or Mary as applying to the entire policy. If the licensee does so and John opts

out, the licensee may not require Mary to opt out as well before implementing John's opt out direction.

(III) Permit John and Mary to make different opt out directions. If the licensee does so:

(a) It shall permit John and Mary to opt out for each other;

(b) If both opt out, the licensee shall permit both of them to notify it in a single response (such as on a form or through a telephone call); and

(c) If John opts out and Mary does not, the licensee may only disclose nonpublic personal financial information about Mary, but not about John and not about John and Mary jointly.

6. Time to comply with opt out. A licensee shall comply with a consumer's opt out direction as soon as reasonably practicable after the licensee receives it.

7. Continuing right to opt out. A consumer may exercise the right to opt out at any time.

8. Duration of consumer's opt out direction.

A. A consumer's direction to opt out under this section is effective until the consumer revokes it in writing or, if the consumer agrees, electronically.

B. When a customer relationship terminates, the customer's opt out direction continues to apply to the nonpublic personal financial information that the licensee collected during or related to that relationship. If the individual subsequently establishes a new customer relationship with the licensee, the opt out direction that applied to the former relationship does not apply to the new relationship.

9. Delivery. When a licensee is required to deliver an opt out notice by this section, the licensee shall deliver it according to subsection (2)(F).

(E) Revised Privacy Notices.

1. General rule. Except as otherwise authorized in this rule, a licensee shall not, directly or through an affiliate, disclose any nonpublic personal financial information about a consumer to a nonaffiliated third party other than as described in the initial notice that the licensee provided to that consumer under subsection (2)(A), unless:

A. The licensee has provided to the consumer a clear and conspicuous revised notice that accurately describes its policies and practices;

B. The licensee has provided to the consumer a new opt out notice;

C. The licensee has given the consumer a reasonable opportunity, before the licensee discloses the information to the nonaffiliated third party, to opt out of the disclosure; and

D. The consumer does not opt out.

2. Examples.

A. Except as otherwise permitted by subsections (4)(A), (4)(B), and (4)(C), a licensee shall provide a revised notice before it:

(I) Discloses a new category of nonpublic personal financial information to any nonaffiliated third party;

(II) Discloses nonpublic personal financial information to a new category of nonaffiliated third party; or

(III) Discloses nonpublic personal financial information about a former customer to a nonaffiliated third party, if that former customer has not had the opportunity to exercise an opt out right regarding that disclosure.

B. A revised notice is not required if the licensee discloses nonpublic personal financial information to a new nonaffiliated third party that the licensee adequately described in its prior notice.

3. Delivery. When a licensee is required to deliver a revised privacy notice by this section, the licensee shall deliver it according to subsection (2)(F).

(F) Delivery.

1. How to provide notices. A licensee shall provide any notices that this rule requires so that each consumer can reasonably be expected to receive actual notice in writing or, if the consumer agrees, electronically.

2. Examples of reasonable expectation of actual notice. A licensee may reasonably expect that a consumer will receive actual notice if the licensee:

A. Hand-delivers a printed copy of the notice to the consumer;

B. Mails a printed copy of the notice to the last known address of the consumer separately, or in a policy, billing or other written communication;

C. For a consumer who conducts transactions electronically, posts the notice on the electronic site and requires the consumer to acknowledge receipt of the notice as a necessary step to obtaining a particular insurance product or service;

D. For an isolated transaction with a consumer, such as the licensee providing an insurance quote or selling the consumer travel insurance, posts the notice and requires the consumer to acknowledge receipt of the notice as a necessary step to obtaining the particular insurance product or service.

3. Examples of unreasonable expectation of actual notice. A licensee may not, however, reasonably expect that a consumer will receive actual notice of its privacy policies and practices if it:

A. Only posts a sign in its office or generally publishes advertisements of its privacy policies and practices; or

B. Sends the notice via electronic mail to a consumer who does not obtain an insurance product or service from the licensee electronically.

4. Annual notices only. A licensee may reasonably expect that a customer will receive actual notice of the licensee's annual privacy notice if:

A. The customer uses the licensee's web site to access insurance products and services electronically and agrees to receive notices at the web site and the licensee posts its current privacy notice continuously in a clear and conspicuous manner on the web site; or

B. The customer has requested that the licensee refrain from sending any information regarding the customer relationship, and the licensee's current privacy notice remains available to the customer upon request.

5. Oral description of notice insufficient. A licensee may not provide any notice required by this rule solely by orally explaining the notice, either in person or over the telephone.

6. Retention or accessibility of notices for customers.

A. For customers only, a licensee shall provide the initial notice required by subparagraph (2)(A)1.A., the annual notice required by paragraph (2)(B)1., and the revised notice required by subsection (2)(E) so that the customer can retain them or obtain them later in writing or, if the customer agrees, electronically.

B. Examples of retention or accessibility. A licensee provides a privacy notice to the customer so that the customer can retain it or obtain it later if the licensee:

(I) Hand-delivers a printed copy of the notice to the customer;

(II) Mails a printed copy of the notice to the last known address of the customer; or

(III) Makes its current privacy notice available on a web site (or a link to another web site) for the customer who obtains an insurance product or service electronically and agrees to receive the notice at the web site.

7. Joint notice with other financial institutions. A licensee may provide a joint notice from the licensee and one or more of its affiliates or other financial institutions, as identified in the notice, as long as the notice is accurate with respect to the licensee and the other institutions. A licensee also may provide a notice on behalf of another financial institution.

8. Joint relationships. If two (2) or more consumers jointly obtain an insurance product or service from a licensee, the licensee may satisfy the initial, annual and revised notice requirements of paragraphs (2)(A)1., (2)(B)1. and (2)(E)1., respectively, by providing one notice to those consumers jointly.

(3) Limits on Disclosures of Financial Information.

(A) Limits on Disclosure of Nonpublic Personal Financial Information to Nonaffiliated Third Parties.

1. Conditions for disclosure. Except as otherwise authorized in this rule, a licensee may not, directly or through any affiliate, disclose any nonpublic personal financial information about a consumer to a nonaffiliated third party unless:

A. The licensee has provided to the consumer an initial notice as required under subsection (2)(A);

B. The licensee has provided to the consumer an opt out notice as required in subsection (2)(D);

C. The licensee has given the consumer a reasonable opportunity, before it discloses the information to the nonaffiliated third party, to opt out of the disclosure; and

D. The consumer does not opt out.

2. Opt out definition. Opt out means a direction by the consumer that the licensee not disclose nonpublic personal financial information about that consumer to a nonaffiliated third party, other than as permitted by subsections (4)(A), (4)(B), and (4)(C).

A. Examples of reasonable opportunity to opt out. A licensee provides a consumer with a reasonable opportunity to opt out if:

(I) By mail. The licensee mails the notices required in paragraph (3)(A)1. to the consumer and allows the consumer to opt out by mailing a form, calling a toll-free telephone number or any other reasonable means within thirty (30) days from the date the licensee mailed the notices.

(II) By electronic means. A customer opens an on-line account with a licensee and agrees to receive the notices required in paragraph (3)(A)1. electronically, and the licensee allows the customer to opt out by any reasonable means within thirty (30) days after the date that the customer acknowledges receipt of the notices in conjunction with opening the account.

(III) Isolated transaction with consumer. For an isolated transaction such as providing the consumer with an insurance quote, a licensee provides the consumer with a reasonable opportunity to opt out if the licensee provides the notices required in paragraph (3)(A)1. at the time of the transaction and requests that the consumer decide, as a necessary part of the transaction, whether to opt out before completing the transaction.

3. Application of opt out to all consumers and all nonpublic personal financial information.

A. A licensee shall comply with this section, regardless of whether the licensee and the consumer have established a customer relationship.

B. Unless a licensee complies with this section, the licensee may not, directly or through any affiliate, disclose any nonpublic personal financial information about a consumer that the licensee has collected, regardless of whether the licensee collected it before or after receiving the direction to opt out from the consumer.

4. Partial opt out. A licensee may allow a consumer to select certain nonpublic personal financial information or certain nonaffiliated third parties with respect to which the consumer wishes to opt out.

(B) Limits on Redisclosure and Reuse of Nonpublic Personal Financial Information.

1. Information the licensee receives under an exception. If a licensee receives nonpublic personal financial information from a nonaffiliated financial institution under an exception in subsection (4)(B) or (4)(C) of this rule, the licensee's disclosure and use of that information is limited as follows:

A. The licensee may disclose the information to the affiliates of the financial institution from which the licensee received the information;

B. The licensee may disclose the information to its affiliates, but the licensee's affiliates may, in turn, disclose and use the information only to the extent that the licensee may disclose and use the information; and

C. The licensee may disclose and use the information pursuant to an exception in subsection (4)(B) or (4)(C) of this rule, in the ordinary course of business to carry out the activity covered by the exception under which the licensee received the information.

(I) Example. If a licensee receives information from a nonaffiliated financial institution for claims settlement purposes, the licensee may disclose the information for fraud prevention, or in response to a properly authorized subpoena. The licensee may not disclose that information to a third party for marketing purposes or use that information for its own marketing purposes.

2. Information a licensee receives outside of an exception. If a licensee receives nonpublic personal financial information from a nonaffiliated financial institution other than under an exception in subsection (4)(B) or (4)(C) of this rule, the licensee may disclose the information only:

A. To the affiliates of the financial institution from which the licensee received the information;

B. To its affiliates, but its affiliates may, in turn, disclose the information only to the extent that the licensee may disclose the information; and

C. To any other person, if the disclosure would be lawful if made directly to that person by the financial institution from which the licensee received the information. Example: If a licensee obtains a customer list from a nonaffiliated financial institution outside of the exceptions in subsection (4)(B) or (4)(C):

(I) The licensee may use that list for its own purposes; and

(II) The licensee may disclose that list to another nonaffiliated third party only if the financial institution from which the licensee purchased the list could have lawfully disclosed the list to that third party. That is, the licensee may disclose the list in accordance with the privacy policy of the financial institution from which the licensee received the list, as limited by the opt out direction of each consumer whose nonpublic personal financial information the licensee intends to disclose, and the licensee may disclose the list in accordance with an exception in subsections (4)(B) or (4)(C), such as to the licensee's attorneys or accountants.

3. Information a licensee discloses under an exception. If a licensee discloses nonpublic personal financial information to a nonaffiliated third party under an exception in subsections (4)(B) or (4)(C) of this rule, the third party may disclose and use that information only as follows:

A. The third party may disclose the information to the licensee's affiliates;

B. The third party may disclose the information to its affiliates, but its affiliates may, in turn, disclose and use the information only to the extent that the third party may disclose and use the information; and

C. The third party may disclose and use the information pursuant to an exception in subsection (4)(B) or (4)(C) in the ordinary course of business to carry out the activity covered by the exception under which it received the information.

4. Information a licensee discloses outside of an exception. If a licensee discloses nonpublic personal financial information to a nonaffiliated third party other than under an exception in subsection (4)(B) or (4)(C) of this rule, the third party may disclose the information only:

A. To the licensee's affiliates;

B. To the third party's affiliates, but the third party's affiliates, in turn, may disclose the information only to the extent the third party can disclose the information; and

C. To any other person, if the disclosure would be lawful if the licensee made it directly to that person.

(C) Limits on Sharing Account Number Information for Marketing Purposes.

1. General prohibition on disclosure of account numbers. A licensee shall not, directly or through an affiliate, disclose, other than to a consumer reporting agency, a policy number or similar form of access number or access code for a consumer's policy or transaction account to any nonaffiliated third party for use in telemarketing, direct mail marketing or other marketing through electronic mail to the consumer.

2. Exceptions. Paragraph (3)(C)1. does not apply if a licensee discloses a policy number or similar form of access number or access code:

A. To the licensee's service provider solely in order to perform marketing for the licensee's own products or services, as long as the service provider is not authorized to directly initiate charges to the account;

B. To a licensee who is a producer solely in order to perform marketing for the licensee's own products or services; or

C. To a participant in an affinity or similar program where the participants in the program are identified to the customer when the customer enters into the program.

3. Examples.

A. Policy number. A policy number, or similar form of access number or access code, does not include a number or code in an encrypted form, as long as the licensee does not provide the recipient with a means to decode the number or code.

B. Policy or transaction account. For the purposes of this section, a policy or transaction account is an account other than a deposit account or a credit card account. A policy or transaction account does not include an account to which third parties cannot initiate charges.

(4) Exceptions to Limits on Disclosures of Financial Information.

(A) Exception to Opt Out Requirements for Disclosure of Nonpublic Personal Financial Information for Service Providers and Joint Marketing.

1. General rule.

A. The opt out requirements in subsections (2)(D) and (3)(A) do not apply when a licensee provides nonpublic personal financial information to a nonaffiliated third party to perform services for the licensee or functions on the licensee's behalf, if the licensee:

(I) Provides the initial notice in accordance with subsection (2)(A); and

(II) Enters into a contractual agreement with the third party that prohibits the third party from disclosing or using the information other than to carry out the purposes for which the licensee disclosed the information, including use under an exception in subsection (4)(B) or (4)(C) in the ordinary course of business to carry out those purposes.

B. Example. If a licensee discloses nonpublic personal financial information under this section to a financial institution with which the licensee performs joint marketing, the licensee's contractual agreement with that institution meets the requirements of part (4)(A)1.A.(II) if it prohibits the institution from disclosing or using the nonpublic personal financial information except as necessary to carry out the joint marketing or under an exception in subsection (4)(B) or (4)(C) in the ordinary course of business to carry out that joint marketing.

2. Service may include joint marketing. The services a nonaffiliated third party performs for a licensee under paragraph (4)(A)1. of this section may include marketing of the licensee's own products or services or marketing of financial products or services offered pursuant to joint agreements between the licensee and one (1) or more financial institutions.

3. Definition of "joint agreement." For purposes of this section, "joint agreement" means a written contract pursuant to which a licensee and one (1) or more financial institutions jointly offer, endorse or sponsor a financial product or service.

(B) Exceptions to Notice and Opt Out Requirements for Disclosure of Nonpublic Personal Financial Information for Processing and Servicing Transactions.

1. Exceptions for processing transactions at consumer's request. The requirements for initial notice in subparagraph (2)(A)1.B., the opt out in subsections (2)(D) and (3)(A), and service providers and joint marketing in subsection (4)(A) do not apply if the licensee discloses nonpublic personal financial information as necessary to effect, administer or enforce a transaction that a consumer requests or authorizes, or in connection with:

A. Servicing or processing an insurance product or service that a consumer requests or authorizes;

B. Maintaining or servicing the consumer's account with a licensee, or with another entity as part of a private label credit card program or other extension of credit on behalf of such entity;

C. A proposed or actual securitization, secondary market sale (including sales of servicing rights) or similar transaction related to a transaction of the consumer; or

D. Reinsurance or stop loss or excess loss insurance.

2. "Necessary to effect, administer or enforce a transaction" means that the disclosure is:

A. Required, or is one of the lawful or appropriate methods, to enforce the licensee's rights or the rights of other persons engaged in carrying out the financial transaction or providing the product or service; or

B. Required, or is a usual, appropriate or acceptable method:

(I) To carry out the transaction or the product or service business of which the transaction is a part, and record, service or maintain the consumer's account in the ordinary course of providing the insurance product or service;

(II) To administer or service benefits or claims relating to the transaction or the product or service business of which it is a part;

(III) To provide a confirmation, statement or other record of the transaction, or information on the status or value of the insurance product or service to the consumer or the consumer's agent or broker;

(IV) To accrue or recognize incentives or bonuses associated with the transaction that are provided by a licensee or any other party;

(V) To underwrite insurance at the consumer's request or for any of the following purposes as they relate to a consumer's insurance: account administration, reporting, investigating or preventing fraud or material misrepresentation, processing premium payments, processing insurance claims, administering insurance benefits (including utilization review activities), participating in research projects or as otherwise required or specifically permitted by federal or state law; or

(VI) In connection with:

(a) The authorization, settlement, billing, processing, clearing, transferring, reconciling or collection of amounts charged, debited or otherwise paid using a debit, credit or other payment card, check or account number, or by other payment means;

(b) The transfer of receivables, accounts or interests therein; or

(c) The audit of debit, credit or other payment information.

(C) Other Exceptions to Notice and Opt Out Requirements for Disclosure of Nonpublic Personal Financial Information.

1. Exceptions to opt out requirements. The requirements for initial notice in subparagraph (2)(A)1.B., the opt out in subsections (2)(D) and (3)(A), and service providers and joint marketing in

subsection (4)(A) do not apply when a licensee discloses nonpublic personal financial information:

A. With the consent or at the direction of the consumer, provided that the consumer has not revoked the consent or direction;

B. To protect the confidentiality or security of a licensee's records pertaining to the consumer, service, product or transaction;

C. To protect against or prevent actual or potential fraud or unauthorized transactions;

D. For required institutional risk control or for resolving consumer disputes or inquiries;

E. To persons holding a legal or beneficial interest relating to the consumer; or

F. To persons acting in a fiduciary or representative capacity on behalf of the consumer;

G. To provide information to insurance rate advisory organizations, guaranty funds or agencies, agencies that are rating a licensee, persons that are assessing the licensee's compliance with industry standards, and the licensee's attorneys, accountants and auditors;

H. To the extent specifically permitted or required under other provisions of law and in accordance with the federal Right to Financial Privacy Act of 1978 (12 U.S.C. 3401 *et seq.*), to law enforcement agencies (including the Federal Reserve Board, Office of the Comptroller of the Currency, Federal Deposit Insurance Corporation, Office of Thrift Supervision, National Credit Union Administration, the Securities and Exchange Commission, the Secretary of the Treasury, with respect to 31 U.S.C. Chapter 53, Subchapter II (Records and Reports on Monetary Instruments and Transactions) and 12 U.S.C. Chapter 21 (Financial Recordkeeping), a state insurance authority, and the Federal Trade Commission), self-regulatory organizations or for an investigation on a matter related to public safety;

I. To a consumer reporting agency in accordance with the federal Fair Credit Reporting Act (15 U.S.C. 1681 *et seq.*);

J. From a consumer report reported by a consumer reporting agency;

K. In connection with a proposed or actual sale, merger, transfer or exchange of all or a portion of a business or operating unit if the disclosure of nonpublic personal financial information concerns solely consumers of the business or unit;

L. To comply with federal, state or local laws, rules and other applicable legal requirements;

M. To comply with a properly authorized civil, criminal or regulatory investigation, or subpoena or summons by federal, state or local authorities;

N. To respond to judicial process or government regulatory authorities having jurisdiction over a licensee for examination, compliance or other purposes as authorized by law; or

O. For purposes related to the replacement of a group benefit plan, a group health plan, or a group welfare plan.

2. Example of revocation of consent. A consumer may revoke consent by subsequently exercising the right to opt out of future disclosures of nonpublic personal information as permitted under paragraph (2)(D)7.

(5) Additional Provisions.

(A) Protection of Fair Credit Reporting Act. Nothing in this rule shall be construed to modify, limit or supersede the operation of the federal Fair Credit Reporting Act (15 U.S.C. 1681 *et seq.*), and no inference shall be drawn on the basis of the provisions of this rule regarding whether information is transaction or experience information under section 603 of that Act.

(B) Nondiscrimination. A licensee shall not unfairly discriminate against any consumer or customer because that consumer or customer has opted out from the disclosure of his or her nonpublic personal financial information pursuant to the provisions of this



rule. Nothing in this subsection shall be construed to prohibit the use of usual, appropriate, or acceptable methods of insurance underwriting.

(C) Severability. If any section or portion of a section of this rule or its applicability to any person or circumstance is held invalid by a court, the remainder of the rule or the applicability of the provision to other persons or circumstances shall not be affected.

(D) Effective Date.

1. Effective date. This rule becomes effective thirty (30) days after publication in the *Code of State Regulations*. After the effective date of this rule, no licensee may disclose nonpublic personal financial information to nonaffiliated third parties without first complying with the provisions of section (3) of this rule, including subparagraph (3)(A)1.A. For consumers who became customers before July 1, 2001, the initial notices required by section (2)(A) must be given by June 30, 2002.

2. Two (2)-year grandfathering of service agreements. Until July 1, 2002, a contract that a licensee has entered into with a nonaffiliated third party to perform services for the licensee or functions on the licensee's behalf satisfies the provisions of part (4)(A)1.A.(II) of this rule, even if the contract does not include a requirement that the third party maintain the confidentiality of nonpublic personal information, as long as the licensee entered into the agreement on or before July 1, 2000.

#### APPENDIX A—SAMPLE CLAUSES

Licensees, including a group of financial holding company affiliates that use a common privacy notice, may use the following sample clauses, if the clause is accurate for each institution that uses the notice. (Note that disclosure of certain information, such as assets, income and information from a consumer reporting agency, may give rise to obligations under the federal Fair Credit Reporting Act, such as a requirement to permit a consumer to opt out of disclosures to affiliates or designation as a consumer reporting agency if disclosures are made to nonaffiliated third parties.)

##### A-1—Categories of information a licensee collects (all institutions)

A licensee may use this clause, as applicable, to meet the requirement of subparagraph (2)(C)1.A. to describe the categories of nonpublic personal information the licensee collects.

Sample Clause A-1:

We collect nonpublic personal information about you from the following sources:

- Information we receive from you on applications or other forms;
- Information about your transactions with us, our affiliates or others; and
- Information we receive from a consumer reporting agency.

##### A-2—Categories of information a licensee discloses (institutions that disclose outside of the exceptions)

A licensee may use one of these clauses, as applicable, to meet the requirement of subparagraph (2)(C)1.B. to describe the categories of nonpublic personal information the licensee discloses. The licensee may use these clauses if it discloses nonpublic personal information other than as permitted by the exceptions in subsections (4)(A), (4)(B), and (4)(C).

Sample Clause A-2, Alternative 1:

We may disclose the following kinds of nonpublic personal information about you:

- Information we receive from you on applications or other forms, such as [provide illustrative examples, such as "your name, address, social security number, assets, income, and beneficiaries"];
- Information about your transactions with us, our affiliates or others, such as [provide illustrative examples, such as "your policy coverage, premiums, and payment history"]; and

- Information we receive from a consumer reporting agency, such as [provide illustrative examples, such as "your creditworthiness and credit history"].

Sample Clause A-2, Alternative 2:

We may disclose all of the information that we collect, as described [describe location in the notice, such as "above" or "below"].

##### A-3—Categories of information a licensee discloses and parties to whom the licensee discloses (institutions that do not disclose outside of the exceptions)

A licensee may use this clause, as applicable, to meet the requirements of subparagraphs (2)(C)1.B., (2)(C)1.C., and (2)(C)1.D. to describe the categories of nonpublic personal information about customers and former customers that the licensee discloses and the categories of affiliates and nonaffiliated third parties to whom the licensee discloses. A licensee may use this clause if the licensee does not disclose nonpublic personal information to any party, other than as permitted by the exceptions in subsections (4)(B) and (4)(C).

Sample Clause A-3:

We do not disclose any nonpublic personal information about our customers or former customers to anyone, except as permitted by law.

##### A-4—Categories of parties to whom a licensee discloses (institutions that disclose outside of the exceptions)

A licensee may use this clause, as applicable, to meet the requirement of subparagraph (2)(C)1.C. to describe the categories of affiliates and nonaffiliated third parties to whom the licensee discloses nonpublic personal information. This clause may be used if the licensee discloses nonpublic personal information other than as permitted by the exceptions in subsections (4)(A), (4)(B), and (4)(C), as well as when permitted by the exceptions in subsections (4)(B) and (4)(C).

Sample Clause A-4:

We may disclose nonpublic personal information about you to the following types of third parties:

- Financial service providers, such as [provide illustrative examples, such as "life insurers, automobile insurers, mortgage bankers, securities broker-dealers, and insurance agents"];
- Non-financial companies, such as [provide illustrative examples, such as "retailers, direct marketers, airlines, and publishers"];
- Others, such as [provide illustrative examples, such as "non-profit organizations"].

We may also disclose nonpublic personal information about you to nonaffiliated third parties as permitted by law.

##### A-5—Service provider/joint marketing exception

A licensee may use one of these clauses, as applicable, to meet the requirements of subparagraph (2)(C)1.E. related to the exception for service providers and joint marketers in subsection (4)(A). If a licensee discloses nonpublic personal information under this exception, the licensee shall describe the categories of nonpublic personal information the licensee discloses and the categories of third parties with which the licensee has contracted.

Sample Clause A-5, Alternative 1:

We may disclose the following information to companies that perform marketing services on our behalf or to other financial institutions with which we have joint marketing agreements:

- Information we receive from you on applications or other forms, such as [provide illustrative examples, such as "your name, address, social security number, assets, income, and beneficiaries"];
- Information about your transactions with us, our affiliates or others, such as [provide illustrative examples, such as "your policy coverage, premium, and payment history"]; and

- Information we receive from a consumer reporting agency, such as [provide illustrative examples, such as “your creditworthiness and credit history”].

Sample Clause A-5, Alternative 2:

We may disclose all of the information we collect, as described [describe location in the notice, such as “above” or “below”] to companies that perform marketing services on our behalf or to other financial institutions with whom we have joint marketing agreements.

**A-6—Explanation of opt out right (institutions that disclose outside of the exceptions)**

A licensee may use this clause, as applicable, to meet the requirement of subparagraph (2)(C)1.F. to provide an explanation of the consumer’s right to opt out of the disclosure of nonpublic personal information to nonaffiliated third parties, including the method(s) by which the consumer may exercise that right. The licensee may use this clause if the licensee discloses nonpublic personal information other than as permitted by the exceptions in subsections (4)(A), (4)(B), and (4)(C).

Sample Clause A-6:

If you prefer that we not disclose nonpublic personal information about you to nonaffiliated third parties, you may opt out of those disclosures, that is, you may direct us not to make those disclosures (other than disclosures permitted by law). If you wish to opt out of disclosures to nonaffiliated third parties, you may [describe a reasonable means of opting out, such as “call the following toll-free number: (insert number)].

**A-7—Confidentiality and security (all institutions)**

A licensee may use this clause, as applicable, to meet the requirement of subparagraph (2)(C)1.H. to describe its policies and practices with respect to protecting the confidentiality and security of nonpublic personal information.

Sample Clause A-7:

We restrict access to nonpublic personal information about you to [provide an appropriate description, such as “those employees who need to know that information to provide products or services to you”]. We maintain physical, electronic, and procedural safeguards that comply with federal rules to guard your nonpublic personal information.

*AUTHORITY: sections 374.045, RSMo 2000, and 362.422, RSMo Supp. 2001; H.B. 801, 91st General Assembly, 1st Regular Session 2001; S.B. 382, 91st General Assembly, 1st Regular Session 2001. Emergency rule filed June 21, 2001, effective July 1, 2001, expires Dec. 28, 2001. Original rule filed Aug. 31, 2001.*

*PUBLIC COST: This proposed rule will not cost state agencies or political subdivisions more than five hundred dollars (\$500) in the aggregate.*

*PRIVATE COST: See attached fiscal note.*

**NOTICE OF PUBLIC HEARING AND NOTICE TO SUBMIT COMMENTS:** *A public hearing on the proposed rule will begin at 10:00 a.m., November 1, 2001, in Room 530 of Harry S Truman State Office Building, 301 West High Street, Jefferson City, Missouri. Any person who requests in writing at least seven (7) days in advance of the hearing to be heard will be heard. Others may be heard if convenient. Any interested person, heard or not, may submit written comments supporting or opposing this proposed rule. Requests to be heard and/or comments should be addressed to Diane Garber, Senior Counsel, Missouri Department of Insurance, Legal Section, Harry S Truman State Office Building, Room 530, PO Box 690, Jefferson City, MO 65102-0690. Comments must be received within thirty (30) days after publication of this notice in the Missouri Register.*

*SPECIAL NEEDS: Persons with special needs addressed by the Americans with Disabilities Act should contact the Missouri Department of Insurance at least ten (10) days prior to the hearing at one of the following numbers: Consumer Services Hotline number 1-800-726-7390 or TDD number 1-573-751-4126.*

**FISCAL NOTE  
PRIVATE ENTITY COST**

**I. RULE NUMBER**

Title: 20

Division: 100

Chapter: 6

Type of Rulemaking: Privacy of Financial Information

Rule Number and Name: 20 CSR 100-6.100 Privacy of Financial Information

**II. SUMMARY OF FISCAL IMPACT**

Estimate of the number of entities by class which would likely be affected by the adoption of the proposed rule:	Classification by types of the business entities which would likely be affected:	Estimate in the aggregate as to the cost of compliance with the rule by the affected entities:
1642	licensed insurance companies	\$10M per annum
293	third party administrators	*
7,398	brokers	*
86,043	agents	*
306	risk retention/purchasing groups	*
137	certified UR agents	*

\* The aggregate cost to licensed insurance companies includes the aggregate cost to all licensees.

**III. WORKSHEET**

$$10M \times \$1.00 = \$10M$$

**IV. ASSUMPTIONS**

The cost to private entities of complying with this regulation is difficult to determine. The regulation mirrors the requirements of Title V of the Gramm-Leach-Bliley Act. Whether or not the Department promulgates this Proposed Rule, licensees are required by federal law and by state law, H.B. 801 and S.B. 382, to comply with Title V. Insurers with multi-state operations are likely required by similar laws in other states to deliver the notices required by the Proposed Rule. Therefore, there should be no fiscal impact on private entities solely as a result of this Proposed Rule.

Considering this Proposed Rule in isolation, the cost to private entities will vary according to the business practice, volume of business, and methods of compliance of each licensee. The cost of compliance includes, at a minimum: legal advice and notice drafting, systems development, management training, staff training, printing, postage, acting on responses to opt-out notices, additional staff and benefits, postage, supplies. Licensees may or may not employ independent contractors to perform the necessary tasks. Because the annual notices are not required to be sent on any particular date, the notice with other mailings saving postage expense. The use of electronic mail may also reduce the cost of compliance. The notice requirements will fall most heavily on insurers because many agents, agencies, and third-party administrators that do not otherwise disclose personally identifiable non-public financial information will have only to determine that the insurer is sending the required notices and will not be required to duplicate that effort.

The department has been unable to find any publicly available reliable information concerning the cost of privacy notice compliance by licensees. No one knows how many privacy notices have been sent pursuant to Title V. Some estimate that on or before July 1, 2001, one billion such notices were sent by financial institutions. See, Tom Woodruff, "Protecting Your Privacy," CNBC on msn.money. Of that number Missouri's 1/50<sup>th</sup> share is approximately 20 million per annum, but only about half of those would have been sent by licensees to whom the Proposed Rule would apply. Woodruff reports that most estimate that only 5% of customers respond to an opt-out notice.

Because there is no reliable information concerning the cost of implementing the Proposed Rule, it is estimated that the cost is \$1.00 per notice. This expense includes compliance with all provisions of the Proposed Rule.

**T**his section will contain the final text of the rules proposed by agencies. The order of rulemaking is required to contain a citation to the legal authority upon which the order of rulemaking is based; reference to the date and page or pages where the notice of proposed rulemaking was published in the *Missouri Register*; an explanation of any change between the text of the rule as contained in the notice of proposed rulemaking and the text of the rule as finally adopted, together with the reason for any such change; and the full text of any section or subsection of the rule as adopted which has been changed from that contained in the notice of proposed rulemaking. The effective date of the rule shall be not less than thirty (30) days after the date of publication of the revision to the *Code of State Regulations*.

**T**he agency is also required to make a brief summary of the general nature and extent of comments submitted in support of or opposition to the proposed rule and a concise summary of the testimony presented at the hearing, if any, held in connection with the rulemaking, together with a concise summary of the agency's findings with respect to the merits of any such testimony or comments which are opposed in whole or in part to the proposed rule. The ninety (90)-day period during which an agency shall file its order of rulemaking for publication in the *Missouri Register* begins either: 1) after the hearing on the proposed rulemaking is held; or 2) at the end of the time for submission of comments to the agency. During this period, the agency shall file with the secretary of state the order of rulemaking, either putting the proposed rule into effect, with or without further changes, or withdrawing the proposed rule.

**Title 3—DEPARTMENT OF CONSERVATION**  
**Division 10—Conservation Commission**  
**Chapter 7—Wildlife Code: Hunting: Seasons, Methods, Limits**

**ORDER OF RULEMAKING**

By the authority vested in the Conservation Commission under sections 40 and 45 of Art. IV, Mo. Const., the commission amends a rule as follows:

3 CSR 10-7.440 is amended.

This amendment establishes hunting seasons and limits and is excepted by section 536.021, RSMo from the requirement for filing as a proposed amendment.

The Department of Conservation amended 3 CSR 10-7.440 by establishing seasons and limits for hunting migratory waterfowl during the 2001-2002 seasons.

**3 CSR 10-7.440 Migratory Game Birds and Waterfowl: Seasons, Limits**

*PURPOSE: This amendment adjusts the season dates and bag limits for hunting waterfowl within frameworks established by the U.S. Fish and Wildlife Service for the 2001-2002 seasons.*

(1) Migratory game birds and waterfowl may be taken, possessed, transported and stored as provided in federal regulations. The head or one (1) fully feathered wing must remain attached to all water-

fowl while being transported from the field to one's home or a commercial preservation facility. Seasons and limits are as follows:

(F) Ducks (except for canvasbacks) and coots may be taken from one-half (1/2) hour before sunrise to sunset from October 27 through December 25 in the North Zone (that portion of Missouri north of a line running west from the Illinois border at Lock and Dam 25; west on Lincoln County Hwy. N to Mo. Hwy. 79; south on Mo. Hwy. 79 to Mo. Hwy. 47; west on Mo. Hwy. 47 to Interstate Hwy. 70; west on Interstate Hwy. 70 to U.S. Hwy. 54; south on U.S. Hwy. 54 to U.S. Hwy 50; and west on U.S. Hwy. 50 to the Kansas border); from November 22 through January 20 in the South Zone (that portion of the state south of a line running west from the Illinois border on Mo. Hwy. 34 to Interstate Hwy. 55; south on Interstate Hwy. 55 to U.S. Hwy. 62; west on U.S. Hwy. 62 to Mo. Hwy. 53; north on Mo. Hwy. 53 to Mo. Hwy. 51; north on Mo. Hwy. 51 to U.S. Hwy. 60; west on U.S. Hwy. 60 to Mo. Hwy. 21; north on Mo. Hwy. 21 to Mo. Hwy. 72; west on Mo. Hwy. 72 to Mo. Hwy. 32; west on Mo. Hwy. 32 to U.S. Hwy. 65; north on U.S. Hwy. 65 to U.S. Hwy. 54; west on U.S. Hwy. 54 to the Kansas border); and from November 3 through January 1 in the Middle Zone (remainder of Missouri). Canvasbacks may be taken from October 27 through November 15 in the North Zone, November 3 through November 22 in the Middle Zone, and January 1 through January 20 in the South Zone. Ducks and coots may be taken by youth hunters less than sixteen (16) years of age from one-half (1/2) hour before sunrise to sunset from October 20 through October 21 in the North Zone, from October 27 through October 28 in the Middle Zone and from November 17 through November 18 in the South Zone. Youth hunters must be accompanied by an adult eighteen (18) years of age or older who cannot hunt. Adults must be licensed unless the youth hunter possesses a valid hunter education certificate card. Limits are as follows:

1. Coots—Fifteen (15) daily; thirty (30) in possession.
2. Ducks—The daily bag limit of ducks is six (6) and may include no more than four (4) mallards (no more than two (2) of which may be a female), three (3) scaup, two (2) wood ducks, one (1) black duck, two (2) redheads, one (1) hooded merganser, one (1) canvasback (during the prescribed season and during the youth hunts) and one (1) pintail. The possession limit is twelve (12), including no more than eight (8) mallards (no more than four (4) of which may be female), six (6) scaup, four (4) wood ducks, two (2) black ducks, four (4) redheads, two (2) hooded mergansers, two (2) canvasbacks and two (2) pintails.

(G) Geese may be taken from one-half (1/2) hour before sunrise to sunset as follows:

1. Blue, snow, and Ross's geese may be taken from October 27 through January 30 in the North Zone and Swan Lake Zone, from November 3 through January 30 in the Middle Zone, and from November 22 through January 30 in the South Zone and Southeast Zone.
2. White-fronted geese may be taken from September 29 through October 8, October 27 through November 25 and December 22 through January 30 in the North Zone, from September 29 through October 8, November 3 through November 25, and December 22 through January 30 in the Middle Zone; from October 27 through November 25 and from December 15 through January 30 in the Swan Lake Zone; and from November 22 through January 30 in the Southeast Zone and South Zone.
3. In the Swan Lake Zone, Canada geese and brant may be taken from October 27 through November 25 and from December 15 through January 13.
4. In the Southeast Zone and South Zone, Canada geese and brant may be taken from November 22 through January 30.
5. Except in the Swan Lake Zone, Southeast Zone and South Zone, Canada geese and brant may be taken from September 29 through October 8, October 27 through November 25 and

December 22 through January 20 in the North Zone and from September 29 through October 8, November 3 through November 25, and December 22 through January 20 in the Middle Zone.

6. The daily bag limit is twenty (20) blue, snow or Ross's geese, two (2) brant and two (2) white-fronted geese statewide. The possession limits for brant and white-fronted geese are four (4) each and there is no possession limit for blue, snow and Ross's geese.

7. The daily bag limit is two (2) Canada geese in the Swan Lake Zone, the South Zone, and the Southeast Zone. The possession limit is four (4) Canada geese.

8. Except for the Swan Lake Zone, the South Zone, and the Southeast Zone, the daily bag limit is three (3) Canada geese from September 29 through October 8 and two (2) Canada geese thereafter. The possession limit is six (6) Canada geese from September 29 through October 8 and four (4) Canada geese thereafter.

9. Geese may be taken by youth hunters in the North Zone and the Swan Lake Zone from October 20 through October 21, in the Middle Zone and Southeast Zone from October 27 through October 28, and in the South Zone from November 17 through November 18. The daily bag limit is twenty (20) blue, snow, and Ross's geese, two (2) white-fronted geese, two (2) brant, and two (2) Canada geese. The possession limits for brant, white-fronted geese and Canada geese are four (4) each and there is no possession limit for blue, snow, and Ross's geese.

10. Zones: The Swan Lake Zone shall be the area bounded by U.S. Hwy. 36 on the north, Mo. Hwy. 5 on the east, Mo. Hwy. 240 and U.S. Hwy. 65 on the south, and U.S. Hwy. 65 on the west. The North Zone shall be that portion of the state north of a line running west from the Illinois border at Lock and Dam 25; west on Lincoln County Hwy. N to Mo. Hwy. 79; south on Mo. Hwy. 79 to Mo. Hwy. 47; west on Mo. Hwy. 47 to Interstate Hwy. 70; west on Interstate Hwy. 70 to U.S. Hwy. 54; south on U.S. Hwy. 54 to U.S. Hwy. 50; west on U.S. Hwy. 50 to the Kansas border excluding the Swan Lake Zone. The South Zone shall be that portion of Missouri south of a line running west from the Illinois border on Mo. Hwy. 34 to Interstate Hwy. 55; south on Interstate Hwy. 55 to U.S. Hwy. 62; west on U.S. Hwy. 62 to Mo. Hwy. 53; north on Mo. Hwy. 53 to Mo. Hwy. 51; north on Mo. Hwy. 51 to U.S. Hwy. 60; west on U.S. Hwy. 60 to Mo. Hwy. 21; north on Mo. Hwy. 21 to Mo. Hwy. 72; west on Mo. Hwy. 72 to Mo. Hwy. 32; west on Mo. Hwy. 32 to U.S. Hwy. 65; north on U.S. Hwy. 65 to U.S. Hwy. 54; west on U.S. Hwy. 54 to the Kansas border. The Middle Zone shall be the remainder of Missouri excluding the Southeast Zone (that portion of the state west of a line beginning at the intersection of Mo. Hwy. 34 and Interstate Hwy. 55, south of Interstate Hwy. 55 to U.S. Hwy. 62; west on U.S. Hwy. 62 to Mo. Hwy. 53; north on Mo. Hwy. 53 to Mo. Hwy. 51; north on Mo. Hwy. 51 to U.S. Hwy. 60; west on U.S. Hwy. 60 to Mo. Hwy. 21; north on Mo. Hwy. 21 to Mo. Hwy. 72; east on Mo. Hwy. 72 to Mo. Hwy. 34; east on Mo. Hwy. 34 to Interstate Hwy. 55).

(I) The hunting season for blue, snow and Ross's geese closes statewide on January 30, 2002 in order to implement the federal Arctic Tundra Habitat Emergency Conservation Act which became law on November 24, 1999.

1. Persons who possess a valid migratory bird permit may chase, pursue, and take blue, snow and Ross's geese between the hours of one-half (1/2) hour before sunrise to one-half (1/2) hour after sunset from January 31 through April 30, 2002. Any other regulation notwithstanding, methods for the taking of blue, snow and Ross's geese include using shotguns capable of holding more than three (3) shells, and with the use or aid of recorded or electrically amplified bird calls or sounds, or recorded or electrically amplified imitations of bird calls or sounds. Exceptions to the above permit requirement include landowners or lessees, as described in this code, and persons fifteen (15) years of age or younger, provided s/he is in the immediate presence of a properly licensed adult or has in his/her possession a valid hunter education

certificate card. A daily bag limit will not be in effect January 31 through April 30.

SUMMARY OF PUBLIC COMMENTS: Seasons and limits are excepted from the requirement of filing as a proposed amendment under section 536.021, RSMo.

This amendment filed August 30, 2001, effective **September 15, 2001**.

**Title 3—DEPARTMENT OF CONSERVATION**  
**Division 10—Conservation Commission**  
**Chapter 9—Wildlife Code: Confined Wildlife:**  
**Privileges, Permits, Standards**

**ORDER OF RULEMAKING**

By the authority vested in the Conservation Commission under sections 40 and 45 of Art. IV, Mo. Const., the commission amends a rule as follows:

3 CSR 10-9.442 is amended.

This amendment establishes hunting seasons and limits and is excepted by section 536.021, RSMo from the requirement for filing as a proposed amendment.

The Department of Conservation amended 3 CSR 10-9.442 by adjusting the season for waterfowl hunting by falconers in 2001–2002 to conform to federal frameworks.

**3 CSR 10-9.442 Falconry**

*PURPOSE: This amendment adjusts the season dates for hunting waterfowl by falconry for the 2001–2002 season as provided in the frameworks established by the U.S. Fish and Wildlife Service.*

(2) Only designated types and numbers of birds of prey may be possessed and all these birds shall bear a numbered, nonreusable marker provided by the department. Birds held under a falconry permit may be used, without further permit, to pursue and take wildlife within the following seasons and bag limits:

(E) Ducks, mergansers and coots may be taken from one-half (1/2) hour before sunrise to sunset as follows: in the North Zone, September 8 through September 23 and September 26 through December 25; in the Middle Zone, September 8 through September 23 and October 3 through January 1; and, in the South Zone, September 8 through September 23 and October 22 through January 20. Daily limit: three (3) birds singly or in the aggregate, including doves; possession limit: six (6) birds singly or in the aggregate, including doves.

SUMMARY OF PUBLIC COMMENTS: Seasons and limits are excepted from the requirement of filing as a proposed amendment under section 536.021, RSMo.

This amendment filed August 30, 2001, effective **September 15, 2001**.

**Title 4—DEPARTMENT OF ECONOMIC**  
**DEVELOPMENT**  
**Division 220—State Board of Pharmacy**  
**Chapter 2—General Rules**

**ORDER OF RULEMAKING**

By the authority vested in the State Board of Pharmacy under sections 338.010, 338.095, 338.140 and 338.280, RSMo 2000, the board amends a rule as follows:

**4 CSR 220-2.085** Electronic Transmission of Prescription Data  
is amended.

A notice of proposed rulemaking containing the text of the proposed amendment was published in the *Missouri Register* on May 15, 2001 (26 MoReg 1025). No changes have been made to the text of the proposed amendment, so it is not reprinted here. This proposed amendment becomes effective thirty (30) days after publication in the *Code of State Regulations*.

**SUMMARY OF COMMENTS:** One comment was received from the Missouri Retailers Association addressing four different issues.

**COMMENT:** The commenter stated that new sections 1D, 2C, 2D and 2E, focus on the fact that the technology is not readily available to pharmacies today that incorporates an electronic signature and the ability to authenticate the sender.

**RESPONSE:** The Board disagrees with this comment, since they believe and have knowledge that the technology is readily available and have seen demonstrations of such technology. No change was made based on this comment.

**COMMENT:** The commenter asks that the Board delay the promulgation of such a regulation until the Federal Drug Enforcement Administration (DEA) publishes their final regulations on electronic prescription transmission of controlled substance prescriptions, which is expected in the Fall of 2001. The commenter feels that consistency between federal and state requirements regarding electronic signatures would facilitate greater efficiency in pharmacy operations and prevent confusion in attempting to comply with what could possibly be conflicting regulations.

**RESPONSE:** There is no assurance that the final regulations will be promulgated in the Fall of 2001 and further, the Board believes that its rule amendment is written in such a way as to avoid any conflict with possible DEA regulations. No change was made based on this comment.

**COMMENT:** The commenter states that the security paper requirement for prescriptions which are electronically generated appears to be onerous for non-controlled prescriptions; and also questions why the Board would require security paper on electronically transmitted prescriptions and not on handwritten prescriptions.

**RESPONSE:** First, this rule does not require any pharmacy to utilize this kind of technology. This rule only sets up minimum standards for those entities who desire to utilize this type of technology in issuing new prescriptions. Second, security paper of the type provided for in this rule is necessary due to the ability to otherwise easily forge or duplicate prescriptions from an electronic source and with the special paper described in this rule, the ability to falsify such prescriptions will be thwarted. The appropriate use of such prescription technology is important for all drugs in order to ensure the health and safety of the public. Finally, those entities, which are able to provide the technology to pharmacies who wish to use it, maintain security paper of this nature for this use and it is readily available. No change was made based on this comment.

**COMMENT:** The commenter also asked for clarification regarding the application of this rule to electronic transfers of prescriptions between pharmacies.

**RESPONSE:** This regulation does not apply to the transfer of a prescription between pharmacies, which is handled electronically. In that instance, there is a prescription on file at one pharmacy, which can be transferred electronically between pharmacies, under certain conditions. The rule in question here deals with an original prescription, which is provided to the pharmacy electronically from a prescriber. These are two separate issues. No change was made based on this comment.

**Title 4—DEPARTMENT OF ECONOMIC  
DEVELOPMENT  
Division 220—State Board of Pharmacy  
Chapter 5—Drug Distributor**

**ORDER OF RULEMAKING**

By the authority vested in the State Board of Pharmacy under sections 338.330, 338.333, 338.335, 338.337, 338.340 and 338.350, RSMo 2000, the board amends a rule as follows:

**4 CSR 220-5.020** Drug Distributor Licensing Requirements is  
amended.

A notice of the proposed rulemaking containing the text of the proposed amendment was published in the *Missouri Register* on May 15, 2001 (26 MoReg 1025-1026). No changes have been made to the text of the proposed amendment, so it is not reprinted here. This proposed amendment becomes effective thirty (30) days after publication in the *Code of State Regulations*.

**SUMMARY OF COMMENTS:** No comments were received.

**Title 13—DEPARTMENT OF SOCIAL SERVICES  
Division 73—Missouri Board of Nursing Home  
Administrators  
Chapter 2—General Rules**

**ORDER OF RULEMAKING**

By the authority vested in the Board of Nursing Home Administrators under section 344.070, RSMo 2000, the board amends a rule as follows:

**13 CSR 73-2.020** Procedures and Requirements for Licensure of  
Nursing Home Administrators is amended.

A notice of proposed rulemaking containing the text of the proposed amendment was published in the *Missouri Register* on June 1, 2001 (26 MoReg 1180-1183). No changes have been made in the text of the proposed amendment, so it is not reprinted here. This proposed amendment becomes effective **January 1, 2002**.

**SUMMARY OF COMMENTS:** John Dalton, Kaiser, MO expressed support for the proposed amendment and commented that he is "in favor of higher qualifications" and "a Bachelor's degree should be required as is the case in most, if not all, other states." Oral comments in support of the changes were received from the Missouri League of Nursing Home Administrators. The Missouri Health Care Association commended the Board for taking steps to remove some of the obstacles for qualified persons but added that the proposed rule should be even less restrictive. They recommended the Board make additional changes to widen the pool of eligible nursing facility administrators in Missouri.

**RESPONSE:** The Board of Nursing Home Administrators has considered these comments and has decided to make no change to the rule. Missouri is one of 20 states experiencing a decline in the number of candidates applying for licensure. All states but 1, Mississippi, have qualifications higher than Missouri. Of the remaining 19 states, one 1 has taken steps to lower educational requirements in order to attract more candidates (allow associate degree or other bachelor's degrees + AIT). The Board does not believe that lowering the minimum qualifications will result in a larger pool of good administrators. Candidates who do not meet the minimum qualifications proposed by the Board still have the opportunity to sit the examinations once the prescribed course of

instruction and training is completed, pursuant to 13 CSR 73-2.031.

**Title 13—DEPARTMENT OF SOCIAL SERVICES**  
**Division 73—Missouri Board of Nursing Home**  
**Administrators**  
**Chapter 2—General Rules**

**ORDER OF RULEMAKING**

By the authority vested in the Board of Nursing Home Administrators under section 344.070, RSMo 2000, the board rescinds a rule as follows:

**13 CSR 73-2.041** Cumulative Point-Value System is **rescinded**.

A notice of proposed rulemaking containing the proposed rescission was published in the *Missouri Register* on June 1, 2001 (26 MoReg 1184). No changes have been made in the proposed rescission, so it is not reprinted here. This proposed rescission becomes effective **January 1, 2002**.

SUMMARY OF COMMENTS: No comments were received.

**Title 16—RETIREMENT SYSTEMS**  
**Division 50—The County Employees' Retirement Fund**  
**Chapter 2—Membership and Benefits**

**ORDER OF RULEMAKING**

By the authority vested in the County Employees' Retirement Board under sections 50.1000 and 50.1210–50.1260, RSMo 2000, the board amends a rule as follows:

**16 CSR 50-2.030** Eligibility and Participation is **amended**.

A notice of proposed rulemaking containing the text of the proposed amendment was published in the *Missouri Register* on June 1, 2001 (26 MoReg 1184). No changes have been made in the text of the proposed amendment, so it is not reprinted here. This proposed amendment becomes effective thirty (30) days after publication in the *Code of State Regulations*.

SUMMARY OF COMMENTS: No comments were received.



**T**his section may contain notice of hearings, correction notices, public information notices, rule action notices, statements of actual costs and other items required to be published in the *Missouri Register* by law.

**Title 4—DEPARTMENT OF ECONOMIC  
DEVELOPMENT  
Division 100—Division of Credit Unions**

**APPLICATIONS FOR NEW GROUPS OR  
GEOGRAPHIC AREAS**

Pursuant to section 370.081(4), RSMo 2000, the director of the Missouri Division of Credit Unions is required to cause notice to be published that the following credit unions have submitted applications to add new groups or geographic areas to their membership.

Credit Union	Proposed New Group or Geographic Area
Mid-County Family 8237 Monroe St. Louis, MO 63114	Mid-County Family Credit Union to serve St. Blaise Catholic Church parishioners and their families.

*NOTICE TO SUBMIT COMMENTS: Anyone may file a written statement in support of or in opposition to any of these applications. Comments shall be filed with: Director, Division of Credit Unions, PO Box 1607, Jefferson City, MO 65102. To be considered, written comments must be submitted no later than ten (10) business days after publication of this notice in the Missouri Register.*

**Title 4—DEPARTMENT OF ECONOMIC  
DEVELOPMENT  
Division 100—Division of Credit Unions**

**APPLICATIONS FOR NEW GROUPS OR  
GEOGRAPHIC AREAS**

Pursuant to section 370.081(4), RSMo 2000, the director of the Missouri Division of Credit Unions is required to cause notice to be published that the following credit unions have submitted applications to add new groups or geographic areas to their membership.

Credit Union	Proposed New Group or Geographic Area
Glassworkers Community Credit Union 523 South Truman Festus, MO 63028	Persons living or working in the zip codes of 63057, 63628, 63049, 63051, 63023

*NOTICE TO SUBMIT COMMENTS: Anyone may file a written statement in support of or in opposition to any of these applications. Comments shall be filed with: Director, Division of Credit Unions, PO Box 1607, Jefferson City, MO 65102. To be considered, written comments must be submitted no later than ten (10) business days after publication of this notice in the Missouri Register.*

**Title 4—DEPARTMENT OF ECONOMIC  
DEVELOPMENT  
Division 100—Division of Credit Unions**

**ACTIONS TAKEN ON APPLICATIONS FOR NEW  
GROUPS OR GEOGRAPHIC AREAS**

Pursuant to section 370.081(4), RSMo 2000, the director of the Missouri Division of Credit Unions is required to cause notice to be published that the director has either granted or rejected applications from the following credit unions to add new groups or geographic areas to their membership and state the reasons for taking these actions.

The following applications have been granted. These credit unions have met the criteria applied to determine if additional groups may be included in the membership of an existing credit union and have the immediate ability to serve the proposed new groups or geographic areas. The proposed new groups or geographic areas meet the requirements established pursuant to 370.080(2), RSMo 2000.

Credit Union	Proposed New Group or Geographic Area
District 4 Highway Credit Union 600 NE Colbern Road PO Box 648002 Lee's Summit, MO 64064-8002	Employees of District 4, Missouri Highway and Transportation Department, Employees of Troop A Missouri State Highway Patrol and members of their immediate families.

**Title 5—DEPARTMENT OF ELEMENTARY AND  
SECONDARY EDUCATION  
Division 80—Teacher Quality and Urban Education  
Chapter 800—Teacher Certification and Professional  
Conduct and Investigations**

**IN ADDITION**

A proposed amendment, 5 CSR 80-800.260, was published in the *Missouri Register* on May 1, 2001 (26 MoReg 919-922) and a final order of rulemaking was published on September 17, 2001 (26 MoReg 1840). A typographical error occurred in subsection (6)(D) where the "incorporated by reference" language was not included in the final order of rulemaking. The rule will appear correctly in the September 30, 2001 update to the *Code of State Regulations*.

Subsection (6)(D) is reprinted here for clarification.

**5 CSR 80-800.260 Temporary Authorization Certificate of  
License to Teach**

(6) The applicant for a temporary authorization certificate must comply with the following criteria:

(D) If this is the applicant's initial certificate of license to teach, documentation of a plan of an academic program of study from a state-approved teacher preparation program must be submitted. If the applicant holds an initial Missouri professional or life certificate of license to teach and is seeking an additional certificate of license to teach, a transcript analysis from the Department of Elementary and Secondary Education (DESE) based on the requirements set forth in the *Compendium of Missouri Certification Requirements* which is incorporated by reference and made a part of this rule must be submitted; and

**Title 9—DEPARTMENT OF MENTAL HEALTH**  
**Division 30—Certification Standards**  
**Chapter 3—Alcohol and Drug Abuse Programs**

**IN ADDITION**

A proposed rule, 9 CSR 30-3.190, was published in the *Missouri Register* on April 2, 2001 (26 MoReg 745-746) and a final order of rulemaking was published on September 4, 2001 (26 MoReg 1728). A typographical error occurred in the last sentence of subparagraph (4)(B)2.E. where the word "that" should have read "than." The rule appeared correctly in the September 30, 2001 update to the *Code of State Regulations*.

Subsection (4)(B) is reprinted here in its entirety for clarification.

**9 CSR 30-3.190 Specialized Program for Women and Children**

(4) Availability of Day Care and Staffing Patterns. The program shall ensure that child care/day care is available for children while the mother participates in treatment and rehabilitation services.

(B) If an exception is granted, the program shall nevertheless meet any licensure requirements that the department determines to be appropriate or applicable to the program. The program shall—

1. Employ a full-time staff person to assume responsibility for day care services. The person shall be qualified by having a minimum of a bachelor's degree in early childhood education or closely related field;

2. Maintain a staff-to-child ratio at the following age-related levels:

A. Birth through two (2) years. Groups composed of mixed ages through two (2) years shall have no less than one (1) adult to four (4) children, with no more than eight (8) children in a group;

B. Age two (2) years. Groups composed solely of two (2)-year-olds shall have no less than one (1) adult to eight (8) children, with no more than sixteen (16) children in a group;

C. Ages three through four (3-4) years. Groups composed solely of three (3)- and four (4)-year-olds shall have no less than one (1) adult to ten (10) children;

D. Ages five (5) and up. Groups composed solely of five (5)-year-olds and older shall have no less than one (1) adult to every sixteen (16) children; and

E. Mixed age groups two (2) years and up. Groups composed of mixed ages of children two (2) years of age and older shall have no less than one (1) adult to ten (10) children with a maximum of four (4) two (2)-year-olds. When there are more than four (4) two (2)-year-olds in a mixed group, there shall be no less than one (1) adult to eight (8) children;

3. If a center has an attendance of more than fifty (50) children, the center director or individual in charge shall not be included in staff/child ratios except during naptime or on an emergency substitute basis;

4. If a center has an attendance of more than thirty (30) children at lunch or dinner time, staff shall be provided for meal preparation, serving and cleanup. The staff shall not be included in staff/child ratios during this time; and

5. Individuals employed for clerical, housekeeping, cleaning and maintenance shall not be included in staff/child ratios while performing those duties.

**Title 9—DEPARTMENT OF MENTAL HEALTH**  
**Division 30—Certification Standards**  
**Chapter 3—Alcohol and Drug Abuse Programs**

**IN ADDITION**

A proposed amendment, 9 CSR 30-3.202, was published in the *Missouri Register* on April 2, 2001 (26 MoReg 760-762) and a final order of rulemaking was published on September 4, 2001 (26

MoReg 1729). Sections (8)–(17) were mistakenly numbered as sections (9)–(18). The rule appeared correctly in the September 30, 2001 update to the *Code of State Regulations*.

Beginning with section (8) the rule is reprinted here for clarification.

**9 CSR 30-3.202 SATOP Administration and Service Documentation**

(8) Behavioral Expectations. The agency shall deny access to any program by a person who arrives under the influence of mood-altering substances and shall remove from any program any person who detracts from the program because of uncooperative behavior.

(A) Program staff shall have the authority to deny access to and remove a client from a program. Testing of blood, breath or urine shall not be required or used in any education program.

(B) A written report of the incident shall be made by the program staff and reviewed by the administrator, who shall make a final disposition.

(C) A person who has justifiably been denied access to or removed from a program shall not be considered to have satisfactorily completed the program.

(D) A person who has justifiably been denied access to or removed from a program shall not be readmitted to that level of service without written approval by the department.

(9) Assessment Recommendation. The program shall have written policies and procedures which stipulate the methods of individualized assessment and the conditions under which referrals are made for further services. The written policies and procedures must follow the guidelines outlined in the current edition of the *Safe and Sober Screening Manual* and incorporated herein by reference. The written policies and procedures shall address the client's right to a second opinion and procedures for judicial review, if necessary.

(A) An assessment recommendation shall be delivered in writing to the person with written notice that the person is entitled to have this recommendation reviewed by a court pursuant to sections 302.304 and 302.540, RSMo.

(B) A person who objects to the recommendation may file a motion in the associate division of the circuit court, on a printed form provided by the state courts administrator, to have the court hear and determine such motion.

(10) Resources and Referrals. A current resource directory of area self-help groups and substance abuse services shall be maintained.

(A) A person who receives a recommendation for further services shall be given a list of area agencies which includes all certified programs that offer the recommended level of service.

(B) The person shall sign a statement acknowledging receipt of the list. The statement shall also indicate that he or she is not required to obtain recommended services from the same agency that has conducted the individualized assessment.

(11) Consumer Evaluation and Satisfaction. All persons participating in a SATOP program shall be asked to complete a course evaluation.

(A) Participants may be encouraged, but not required, to sign the evaluation form.

(B) Evaluations shall be retained by the program for two (2) years or until completion of the next site survey, whichever is longer.

(12) Data Collection. The program shall cooperate with all SATOP quality assurance and data collection requirements regarding the program operation, DWI offender demographics, or other data collection that may be required by the department. Failure to

submit requested information in a timely fashion may result in administrative sanction or revocation of certification.

(13) Master List of Clients. An agency shall keep a master list of all clients who have been admitted or enrolled in its SATOP program(s) to include: name, dates of attendance, program type and whether the client successfully completed the program.

(14) Client Records. An organized record shall be maintained on each person who participates in a SATOP program.

(A) Records shall be stored in a manner to protect confidentiality.

(B) Records shall be retained for at least two (2) years or until completion of the next site survey, whichever is longer. However, if the agency is contracted with the department, the contract requirements for retaining records shall prevail.

(15) Content of Client Records. Each client record shall include:

(A) Dates of attendance;

(B) Demographic information sufficient to complete the division's annual report form;

(C) Scored pretests and posttests measuring knowledge gain and attitude change;

(D) Proper, signed release of information forms;

(E) Department of Revenue driving record check;

(F) Documentation of an individualized assessment screening, where required. The documentation shall include the name of the qualified professional, date, amount of time spent, summary of the screening instrument results which includes a substance use history, summary of findings, recommendation and student's response to the recommendation;

(G) Where applicable, signed acknowledgment of receiving an assessment screening recommendation, a list of referral resources, and notice that any additional services may be received from a different provider;

(H) Copy of the SATOP Offender Assignment, Report of Offender Compliance, and the SATOP Completion Certificate; and

(I) Program evaluation completed by the client.

(16) Additional Client Record Requirements for ADEP. For Adolescent Diversion Education Program (ADEP) clients who are under the age of eighteen (18) and are not emancipated, there shall be documentation showing—

(A) Efforts to involve the parent or guardian in the program;

(B) Results of the efforts, that is, whether the parent participated and the extent of participation; and

(C) Where applicable, the parent or guardian's view of substance use patterns and possible effects on family, social, legal, emotional, physical, financial, educational and vocational functioning.

(17) Compliance. Failure to adhere to the stipulations, conditions, and the requirements set forth in this rule shall be considered cause for revocation or denial of program certification.

**Title 9—DEPARTMENT OF MENTAL HEALTH  
Division 30—Certification Standards  
Chapter 4—Mental Health Programs**

**IN ADDITION**

A proposed amendment, 9 CSR 30-4.035, was published in the *Missouri Register* on April 2, 2001 (26 MoReg 787-789) and a final order of rulemaking was published on September 4, 2001 (26 MoReg 1739-1740). A typographical error occurred in paragraph (9)(B)6. where the word "and" should have appeared in bold typeface as this was new matter. The rule appeared correctly in the September 30, 2001 update to the *Code of State Regulations*.

Subsection (9)(B) is reprinted here for clarification.

**9 CSR 30-4.035 Client Records of a Community Psychiatric Rehabilitation Program**

(9) In addition to documentation required under section (8), the CPR provider shall provide additional documentation for each service episode, unit or as clinically indicated for each service provided to the client as follows:

(B) Crisis Intervention and Resolution Services.

1. Description of the precipitating event(s)/situation, when known.

2. Description of the client's mental status.

3. Interventions initiated to resolve the client's crisis state.

4. Client response to intervention.

5. Disposition.

6. Planned follow-up by staff; and

**Title 9—DEPARTMENT OF MENTAL HEALTH  
Division 30—Certification Standards  
Chapter 4—Mental Health Programs**

**IN ADDITION**

A proposed amendment, 9 CSR 30-4.160, was published in the *Missouri Register* on April 2, 2001 (26 MoReg 797-798) and a final order of rulemaking was published on September 4, 2001 (26 MoReg 1743). A typographical error occurred in section (3) where the word "as" should have read "at." The rule appeared correctly in the September 30, 2001 update to the *Code of State Regulations*.

Section (3) is reprinted here for clarification.

**9 CSR 30-4.160 Client Records**

(3) Treatment plans shall be revised and rewritten at least annually.

**T**he Secretary of State is required by sections 347.141 and 359.481, RSMo 2000 to publish dissolutions of limited liability companies and limited partnerships. The content requirements for the one-time publishing of these notices are prescribed by statute. This listing is published pursuant to these statutes. We request that documents submitted for publication in this section be submitted in camera ready 8 1/2" x 11" manuscript.

## **NOTICE OF WINDING UP OF LIMITED LIABILITY COMPANY**

Public notice is hereby given that on April 30, 2001, 209 Aircraft Company, L.L.C., a Missouri limited liability company, was voluntarily dissolved as a corporation. Persons with claims against the Corporation must present them in accordance with this notice and the Revised Statutes of the State of Missouri.

You are hereby notified that if you believe you have a claim against 209 Aircraft Company, L.L.C., you must submit a summary of the circumstances surrounding your claim in writing to 209 Aircraft Company, L.L.C. c/o Van Matre and Harrison, P.C., PO Box 1017, Columbia, Missouri, 65205. The summary of your claim must include the following information:

- A. The name, address and telephone number of the claimant.
- B. The amount of the claim.
- C. The date the claim accrued or will accrue.
- D. A brief description of the nature of the debt or the basis for the claim.
- E. Whether the claim is secured and if so the collateral used as security.

You are further notified that all claims against 209 Aircraft Company, L.L.C., a Missouri limited liability company, will be barred unless a proceeding to enforce the claim is commenced within three years after the publication of this notice.

Date of Publication: August 27, 2001

### **NOTICE OF CORPORATE DISSOLUTION TO ALL CREDITORS AND CLAIMANTS AGAINST #35 WILDHORSE SPRINGS, L.L.C.**

On August 28, 2001, #35 WILDHORSE SPRINGS, L.L.C., a Missouri Limited Liability Company, filed its Articles of Termination with the Missouri Secretary of State. Any claims against the L.L.C. should be sent to Merle L. Silverstein, 7733 Forsyth Blvd., Suite 400, St. Louis, Missouri 63105. All claims must include the name, address and phone number of the claimant; the amount of the claim; the basis of the claim; and the date the claim arose.

All claims must be received by the L.L.C. within three (3) years after publication of this notice. Any claims not received by that date will be barred.

### **NOTICE OF CORPORATE DISSOLUTION TO ALL CREDITORS AND CLAIMANTS AGAINST 23 BON HILLS, L.L.C..**

On May 22, 2001, 23 BON HILLS, L.L.C., a Missouri Limited Liability Company, filed its Articles of Termination with the Missouri Secretary of State. Any claims against the L.L.C. should be sent to Merle S. Silverstein, 7733 Forsyth Blvd., Suite 400, St. Louis, Missouri 63105. All claims must include the name, address and phone number of the claimant; the amount of the claim; the basis of the claim; and the date the claim arose.

All claims must be received by the L.L.C. within three (3) years after publication of this notice. Any claims not received by that date will be barred.

**NOTICE OF WINDING UP OF CORPORATION**

NOTICE OF WINDING UP TO ALL CREDITORS AND CLAIMANTS AGAINST  
**JOURNEYS END, INC.**, a Missouri corporation.

On May 25, 2001 **JOURNEYS END, INC.**, a Missouri corporation filed its notice of winding up with the Missouri Secretary of State. The winding up was effective on May 25, 2001.

Said corporation requests that all persons and organizations who have claims against it present them immediately by letter to the company c/o Cecolia Mihalevich, 1304 S. Baltimore, Kirksville, MO 63501.

All claims must include: the name and address of the claimant; the amount claimed; the basis for the claim; the date(s) on which the event(s) on which claim is based occurred.

NOTICE: Because of the winding up of **JOURNEYS END, INC.** any claims against it will be barred unless a proceeding to enforce the claim is commenced within three years after the publication date of the two notices authorized by statute, whichever is published last.

This correspondence will serve as our request that you post on the website for the Missouri Secretary of State Notice of Dissolution as follows:

X-DOT Missouri, Inc., filed its Articles of Dissolution with the Missouri Secretary of State on August 3, 2001. All persons or organizations who have claims against X-DOT Missouri, Inc., should present them immediately by letter to Carl J. Lumley, Curtis, Oetting, et al., 130 S. Bemiston, Suite 200, St. Louis, Missouri 63105. All claims must include the name and address of the claimant, the amount claimed, the basis for the claims, dates on which the events on which the claim is based occurred, and any supporting documents. Notice: Because of the Dissolution of X-DOT Missouri, Inc., any claims against it will be barred unless a proceeding to enforce the claim is commenced within two years after August 3, 2001.

**OFFICE OF ADMINISTRATION  
Division of Purchasing**

**BID OPENINGS**

Sealed Bids in one (1) copy will be received by the Division of Purchasing, Room 580, Truman Building, PO Box 809, Jefferson City, MO 65102, telephone (573) 751-2387 at 2:00 p.m. on dates specified below for various agencies throughout Missouri. Bids are available to download via our homepage: [www.moolb.state.mo.us](http://www.moolb.state.mo.us). Prospective bidders may receive specifications upon request.

B1E02053 Trucks: GVWR 17,500 lbs. 10/2/01;  
B2Z02021 Medicaid Fraud Detection System 10/2/01;  
B3E02042 Print: Application for Title (Carbonless Forms) 10/2/01;  
B1E02074 Firearms: Rifles, Shotguns & Pistols 10/3/01;  
B3Z02018 Guidance Document Revision Service 10/12/01;  
B3Z02026 Archaeological Survey Services 10/15/01  
B2Z02000 Electronic Benefit Transfer (EBT) Services 11/19/01.

It is the intent of the state of Missouri, Division of Purchasing to purchase the following as a single feasible source without competitive bids. If suppliers exist other than the one identified, contact (573) 751-2387 immediately.

- 1.) Proprietary Purchase: Historic Artifact: General Thomas Alexander Harris' Sword, supplied by Augusta Museum of History.
- 2.) Proprietary Maintenance-Bell & Howell Mailstar Mail Inserters Model 109, supplied by Bell & Howell.
- 3.) Women's & Minority Health Care Outreach Program, supplied by Missouri Primary Care Association.

PCO/PCA Recruitment & Retention Joint Venture, supplied by Missouri Primary Care Association.

James Miluski, CPPO,  
Director of Purchasing

# Rule Changes Since Update to Code of State Regulations

This cumulative table gives you the latest status of rules. It contains citations of rulemakings adopted or proposed after deadline for the monthly Update Service to the *Code of State Regulations*, citations are to volume and page number in the *Missouri Register*, except for material in this issue. The first number in the table cite refers to the volume number or the publication year—24 (1999), 25 (2000) and 26 (2001). MoReg refers to *Missouri Register* and the numbers refer to a specific *Register* page, R indicates a rescission, W indicates a withdrawal, S indicates a statement of actual cost, T indicates an order terminating a rule, N.A. indicates not applicable and RUC indicates a rule under consideration.

Rule Number	Agency	Emergency	Proposed	Order	In Addition
<b>OFFICE OF ADMINISTRATION</b>					
1 CSR 10	State Officials' Salary Compensation Schedule .....				24 MoReg 2535
	.....				25 MoReg 2478
<b>DEPARTMENT OF AGRICULTURE</b>					
2 CSR 10-5.005	Market Development .....	24 MoReg 2269			
2 CSR 10-5.010	Market Development .....	26 MoReg 1305R			
	.....	26 MoReg 1305			
2 CSR 70-13.030	Plant Industries .....		26 MoReg 905	26 MoReg 1837	
2 CSR 80-5.010	State Milk Board .....		26 MoReg 909	26 MoReg 1572	
2 CSR 90-21.060	Weights and Measures .....		25 MoReg 2788	26 MoReg 865	
2 CSR 90-40.010	Weights and Measures .....		26 MoReg 1129R	26 MoReg 1837R	
2 CSR 90-50.010	Weights and Measures .....		26 MoReg 1129R	26 MoReg 1837R	
2 CSR 100-10.010	Weights and Measures .....		26 MoReg 1623		
<b>DEPARTMENT OF CONSERVATION</b>					
3 CSR 10-1.010	Conservation Commission .....		26 MoReg 1795		
3 CSR 10-4.113	Conservation Commission .....		26 MoReg 1130	26 MoReg 1572	
3 CSR 10-4.115	Conservation Commission .....		26 MoReg 1130R	26 MoReg 1572R	
3 CSR 10-4.116	Conservation Commission .....		26 MoReg 1131R	26 MoReg 1572R	
3 CSR 10-5.205	Conservation Commission .....		26 MoReg 1132	26 MoReg 1573	
3 CSR 10-5.215	Conservation Commission .....		26 MoReg 1132	26 MoReg 1573	
3 CSR 10-5.216	Conservation Commission .....		26 MoReg 1132	26 MoReg 1573	
3 CSR 10-5.310	Conservation Commission .....		26 MoReg 1133	26 MoReg 1573	
3 CSR 10-5.315	Conservation Commission .....		26 MoReg 1133	26 MoReg 1573	
3 CSR 10-5.320	Conservation Commission .....		26 MoReg 1133	26 MoReg 1573	
3 CSR 10-5.550	Conservation Commission .....		This Issue		
3 CSR 10-5.551	Conservation Commission .....		This Issue		
3 CSR 10-5.559	Conservation Commission .....		This Issue		
3 CSR 10-5.560	Conservation Commission .....		This Issue		
3 CSR 10-5.565	Conservation Commission .....		This Issue		
3 CSR 10-6.405	Conservation Commission .....		26 MoReg 1134	26 MoReg 1574	
3 CSR 10-6.410	Conservation Commission .....		26 MoReg 1134	26 MoReg 1574	
3 CSR 10-6.505	Conservation Commission .....		26 MoReg 1135	26 MoReg 1574	
3 CSR 10-6.525	Conservation Commission .....		26 MoReg 1135	26 MoReg 1574	
3 CSR 10-7.440	Conservation Commission .....		N.A.	This Issue	
3 CSR 10-9.110	Conservation Commission .....		26 MoReg 1308	26 MoReg 1837	
3 CSR 10-9.442	Conservation Commission .....		N.A.	This Issue	
3 CSR 10-9.575	Conservation Commission .....		26 MoReg 1136	26 MoReg 1574	
3 CSR 10-9.625	Conservation Commission .....		26 MoReg 1136	26 MoReg 1574	
3 CSR 10-10.744	Conservation Commission .....		26 MoReg 1136	26 MoReg 1575	
3 CSR 10-11.105	Conservation Commission .....		26 MoReg 1137	26 MoReg 1575	
3 CSR 10-11.110	Conservation Commission .....		26 MoReg 1137	26 MoReg 1575	
3 CSR 10-11.115	Conservation Commission .....		26 MoReg 1137	26 MoReg 1575	
3 CSR 10-11.120	Conservation Commission .....		26 MoReg 1138	26 MoReg 1575	
3 CSR 10-11.130	Conservation Commission .....		26 MoReg 1138	26 MoReg 1575	
3 CSR 10-11.135	Conservation Commission .....		26 MoReg 1139	26 MoReg 1576	
3 CSR 10-11.140	Conservation Commission .....		26 MoReg 1139	26 MoReg 1576	
3 CSR 10-11.145	Conservation Commission .....		26 MoReg 1139	26 MoReg 1576	
3 CSR 10-11.150	Conservation Commission .....		26 MoReg 1140	26 MoReg 1576	
3 CSR 10-11.155	Conservation Commission .....		26 MoReg 1140	26 MoReg 1576	
3 CSR 10-11.160	Conservation Commission .....		26 MoReg 1140	26 MoReg 1576	
3 CSR 10-11.165	Conservation Commission .....		26 MoReg 1141	26 MoReg 1577	
3 CSR 10-11.180	Conservation Commission .....		26 MoReg 1141	26 MoReg 1577	
3 CSR 10-11.182	Conservation Commission .....		26 MoReg 1144	26 MoReg 1577	26 MoReg 1765
	.....		This Issue		
3 CSR 10-11.183	Conservation Commission .....		26 MoReg 1146	26 MoReg 1577	
3 CSR 10-11.186	Conservation Commission .....		26 MoReg 1146	26 MoReg 1577	
3 CSR 10-11.187	Conservation Commission .....		26 MoReg 1147	26 MoReg 1577	
3 CSR 10-11.200	Conservation Commission .....		26 MoReg 1147	26 MoReg 1578	
	.....		This Issue		
3 CSR 10-11.205	Conservation Commission .....		26 MoReg 1148	26 MoReg 1578	
3 CSR 10-11.210	Conservation Commission .....		26 MoReg 1149	26 MoReg 1578	
	.....		This Issue		
3 CSR 10-11.215	Conservation Commission .....		26 MoReg 1150	26 MoReg 1578	
	.....		This Issue		
3 CSR 10-11.805	Conservation Commission .....		26 MoReg 1150R	26 MoReg 1578R	
3 CSR 10-12.101	Conservation Commission .....		26 MoReg 1151	26 MoReg 1578	
3 CSR 10-12.105	Conservation Commission .....		26 MoReg 1151	26 MoReg 1579	
3 CSR 10-12.109	Conservation Commission .....		26 MoReg 1308	26 MoReg 1838	

Rule Number	Agency	Emergency	Proposed	Order	In Addition
3 CSR 10-12.110	Conservation Commission .....		26 MoReg 1151 .....	26 MoReg 1579	
			This Issue		
3 CSR 10-12.115	Conservation Commission .....		26 MoReg 1152 .....	26 MoReg 1579	
3 CSR 10-12.125	Conservation Commission .....		26 MoReg 1153 .....	26 MoReg 1579	
3 CSR 10-12.130	Conservation Commission .....		26 MoReg 1154 .....	26 MoReg 1579	
3 CSR 10-12.135	Conservation Commission .....		26 MoReg 1154 .....	26 MoReg 1579	
			This Issue		
3 CSR 10-12.140	Conservation Commission .....		26 MoReg 1154 .....	26 MoReg 1580	
			This Issue		
3 CSR 10-12.145	Conservation Commission .....		26 MoReg 1156 .....	26 MoReg 1580	
			This Issue		
3 CSR 10-12.150	Conservation Commission .....		26 MoReg 1156 .....	26 MoReg 1580	
3 CSR 10-20.805	Conservation Commission .....		26 MoReg 1157 .....	26 MoReg 1580	
<b>DEPARTMENT OF ECONOMIC DEVELOPMENT</b>					
4 CSR 10-2.160	Missouri State Board of Accountancy .....		26 MoReg 1501		
4 CSR 15-1.010	Acupuncturist Advisory Committee .....		26 MoReg 1624		
4 CSR 15-1.020	Acupuncturist Advisory Committee .....		26 MoReg 1628		
4 CSR 15-1.030	Acupuncturist Advisory Committee .....		26 MoReg 1631		
4 CSR 15-2.010	Acupuncturist Advisory Committee .....		26 MoReg 1631		
4 CSR 15-2.020	Acupuncturist Advisory Committee .....		26 MoReg 1637		
4 CSR 15-3.010	Acupuncturist Advisory Committee .....		26 MoReg 1642		
4 CSR 15-3.020	Acupuncturist Advisory Committee .....		26 MoReg 1647		
4 CSR 15-4.010	Acupuncturist Advisory Committee .....		26 MoReg 1650		
4 CSR 15-4.020	Acupuncturist Advisory Committee .....		26 MoReg 1653		
4 CSR 30-8.020	Missouri Board for Architects, Professional Engineers and Professional Land Surveyors .....		26 MoReg 1406R 26 MoReg 1406		
4 CSR 30-11.010	Missouri Board for Architects, Professional Engineers and Professional Land Surveyors .....		26 MoReg 1409R 26 MoReg 1409		
4 CSR 30-11.020	Missouri Board for Architects, Professional Engineers and Professional Land Surveyors .....		26 MoReg 1410		
4 CSR 100	Division of Credit Unions .....			26 MoReg 1476	
				26 MoReg 1542	
				26 MoReg 1598	
				26 MoReg 1765	
				26 MoReg 1846	
				This Issue	
4 CSR 100-2.040	Division of Credit Unions .....		26 MoReg 1795		
4 CSR 100-2.060	Division of Credit Unions .....		26 MoReg 1159 .....	26 MoReg 1704	
4 CSR 100-2.160	Division of Credit Unions .....		26 MoReg 1796		
4 CSR 110-2.170	Missouri Dental Board .....		26 MoReg 1414R		
			26 MoReg 1414		
4 CSR 110-2.180	Missouri Dental Board .....		26 MoReg 1423R		
			26 MoReg 1423		
4 CSR 120-2.100	State Board of Embalmers and Funeral Directors .....		26 MoReg 1007 .....	26 MoReg 1704	
4 CSR 140-2.070	Division of Finance .....		26 MoReg 328 .....	26 MoReg 1341	
4 CSR 140-2.138	Division of Finance .....		26 MoReg 328 .....	26 MoReg 1342	
4 CSR 140-6.085	Division of Finance .....		26 MoReg 329 .....	26 MoReg 1342	
4 CSR 145-1.040	Missouri Board of Geologist Registration .....		26 MoReg 1011 .....	26 MoReg 1704	
4 CSR 150-2.050	State Board of Registration for the Healing Arts .....		26 MoReg 1014 .....	26 MoReg 1705	
4 CSR 150-2.080	State Board of Registration for the Healing Arts .....		26 MoReg 1014 .....	26 MoReg 1705	
4 CSR 150-2.125	State Board of Registration for the Healing Arts .....		26 MoReg 1020 .....	26 MoReg 1705	
4 CSR 150-2.165	State Board of Registration for the Healing Arts .....		26 MoReg 1021 .....	26 MoReg 1705	
4 CSR 150-6.010	State Board of Registration for the Healing Arts .....		26 MoReg 1656		
4 CSR 150-8.060	State Board of Registration for the Healing Arts .....		26 MoReg 1023 .....	26 MoReg 1706	
4 CSR 165-1.020	Board of Examiners for Hearing Instrument Specialists .....		26 MoReg 1656		
4 CSR 165-2.050	Board of Examiners for Hearing Instrument Specialists .....		26 MoReg 1656		
4 CSR 165-2.060	Board of Examiners for Hearing Instrument Specialists .....		26 MoReg 1657		
4 CSR 205-4.010	Missouri Board of Occupational Therapy .....		26 MoReg 859 .....	26 MoReg 1539	
4 CSR 205-4.020	Missouri Board of Occupational Therapy .....		26 MoReg 859 .....	26 MoReg 1539	
4 CSR 220-2.010	State Board of Pharmacy .....		26 MoReg 1658		
4 CSR 220-2.032	State Board of Pharmacy .....		26 MoReg 698 .....	26 MoReg 1539	
4 CSR 220-2.085	State Board of Pharmacy .....		26 MoReg 1025 .....	This Issue	
4 CSR 220-4.010	State Board of Pharmacy .....		26 MoReg 698 .....	26 MoReg 1539	
4 CSR 220-5.020	State Board of Pharmacy .....		26 MoReg 1025 .....	This Issue	
4 CSR 233-1.040	State Committee of Marital and Family Therapists .....		26 MoReg 1309		
4 CSR 233-2.010	State Committee of Marital and Family Therapists .....		26 MoReg 1309		
4 CSR 233-2.020	State Committee of Marital and Family Therapists .....		26 MoReg 1310		
4 CSR 233-2.021	State Committee of Marital and Family Therapists .....		26 MoReg 1311		
4 CSR 233-2.040	State Committee of Marital and Family Therapists .....		26 MoReg 1312		
4 CSR 240-10.020	Public Service Commission .....		26 MoReg 1659		
4 CSR 240-21.010	Public Service Commission .....		26 MoReg 1312		
4 CSR 240-35.010	Public Service Commission .....		26 MoReg 1659		
4 CSR 240-35.020	Public Service Commission .....		26 MoReg 1659		
4 CSR 240-35.030	Public Service Commission .....		26 MoReg 1660R		
4 CSR 240-51.010	Public Service Commission .....		26 MoReg 1317		
4 CSR 240-120.011	Public Service Commission .....		26 MoReg 1434		
4 CSR 240-120.065	Public Service Commission .....		26 MoReg 1434		
4 CSR 240-120.100	Public Service Commission .....		26 MoReg 1160		
4 CSR 240-121.010	Public Service Commission .....		26 MoReg 1161		



Rule Number	Agency	Emergency	Proposed	Order	In Addition
4 CSR 240-121.020	Public Service Commission .....		26 MoReg 1161		
4 CSR 240-121.040	Public Service Commission .....		26 MoReg 1161		
4 CSR 240-121.050	Public Service Commission .....		26 MoReg 1162		
4 CSR 240-121.055	Public Service Commission .....		26 MoReg 1434		
4 CSR 240-121.060	Public Service Commission .....		26 MoReg 1162		
4 CSR 240-121.090	Public Service Commission .....		26 MoReg 1162		
4 CSR 240-122.010	Public Service Commission .....		26 MoReg 1435R		
4 CSR 240-122.020	Public Service Commission .....		26 MoReg 1435R		
4 CSR 240-122.030	Public Service Commission .....		26 MoReg 1435R		
4 CSR 240-122.040	Public Service Commission .....		26 MoReg 1435R		
4 CSR 240-122.050	Public Service Commission .....		26 MoReg 1436R		
4 CSR 240-122.060	Public Service Commission .....		26 MoReg 1436R		
4 CSR 240-122.070	Public Service Commission .....		26 MoReg 1436R		
4 CSR 240-122.080	Public Service Commission .....		26 MoReg 1437R		
4 CSR 240-122.090	Public Service Commission .....		26 MoReg 1437R		
4 CSR 240-123.010	Public Service Commission .....		26 MoReg 1437		
4 CSR 240-123.030	Public Service Commission .....		26 MoReg 1438		
4 CSR 240-123.040	Public Service Commission .....		26 MoReg 1441		
4 CSR 240-123.065	Public Service Commission .....		26 MoReg 1444		
4 CSR 240-123.070	Public Service Commission .....		26 MoReg 1444		
4 CSR 240-123.080	Public Service Commission .....		26 MoReg 1446		
4 CSR 240-124.010	Public Service Commission .....		26 MoReg 1446		
4 CSR 240-124.040	Public Service Commission .....		26 MoReg 1447		
4 CSR 240-124.045	Public Service Commission .....		26 MoReg 1447		
4 CSR 245-5.010	Real Estate Appraisers .....		26 MoReg 1026	26 MoReg 1706	
4 CSR 245-5.020	Real Estate Appraisers .....		26 MoReg 1026	26 MoReg 1706	
4 CSR 255-1.040	Missouri Board for Respiratory Care .....		26 MoReg 860	26 MoReg 1580	
4 CSR 270-1.011	Missouri Veterinary Medical Board .....		26 MoReg 1030	26 MoReg 1706	
4 CSR 270-1.021	Missouri Veterinary Medical Board .....		26 MoReg 1030	26 MoReg 1706	
4 CSR 270-1.050	Missouri Veterinary Medical Board .....		26 MoReg 1031R	26 MoReg 1706R	
			26 MoReg 1031	26 MoReg 1707	
4 CSR 270-2.011	Missouri Veterinary Medical Board .....		26 MoReg 1037	26 MoReg 1707	
4 CSR 270-2.021	Missouri Veterinary Medical Board .....		26 MoReg 1037	26 MoReg 1707	
4 CSR 270-2.052	Missouri Veterinary Medical Board .....		26 MoReg 1038	26 MoReg 1707	
4 CSR 270-2.070	Missouri Veterinary Medical Board .....		26 MoReg 1038	26 MoReg 1707	
4 CSR 270-2.071	Missouri Veterinary Medical Board .....		26 MoReg 1039	26 MoReg 1708	
4 CSR 270-3.020	Missouri Veterinary Medical Board .....		26 MoReg 1039	26 MoReg 1708	
4 CSR 270-3.030	Missouri Veterinary Medical Board .....		26 MoReg 1040	26 MoReg 1708	
4 CSR 270-3.040	Missouri Veterinary Medical Board .....		26 MoReg 1040	26 MoReg 1708	
4 CSR 270-4.042	Missouri Veterinary Medical Board .....		26 MoReg 1041	26 MoReg 1708	
4 CSR 270-4.050	Missouri Veterinary Medical Board .....		26 MoReg 1047	26 MoReg 1708	
4 CSR 270-4.060	Missouri Veterinary Medical Board .....		26 MoReg 1051	26 MoReg 1709	
4 CSR 270-5.011	Missouri Veterinary Medical Board .....		26 MoReg 1051	26 MoReg 1709	
4 CSR 270-7.020	Missouri Veterinary Medical Board .....		26 MoReg 1054	26 MoReg 1709	
<b>DEPARTMENT OF ELEMENTARY AND SECONDARY EDUCATION</b>					
5 CSR 30-261.025	Division of Administrative and Financial Services .....		26 MoReg 912	26 MoReg 1838	
5 CSR 30-345.020	Division of Administrative and Financial Services .....		26 MoReg 1320		
	( <i>Changed to 5 CSR 50-345.020</i> )				
5 CSR 50-345.020	Division of School Improvement .....		26 MoReg 1320		
	( <i>Changed from 5 CSR 30-345.020</i> )				
5 CSR 60-100.020	Vocational and Adult Education .....		26 MoReg 915	26 MoReg 1838	
5 CSR 60-120.010	Vocational and Adult Education .....		N.A.	26 MoReg 821	
5 CSR 70-742.140	Special Education .....		N.A.	26 MoReg 1580	
5 CSR 80-800.200	Teacher Quality and Urban Education .....		26 MoReg 918	26 MoReg 1838	
5 CSR 80-800.220	Teacher Quality and Urban Education .....		26 MoReg 918	26 MoReg 1839	
5 CSR 80-800.230	Teacher Quality and Urban Education .....		26 MoReg 919	26 MoReg 1839	
5 CSR 80-800.260	Teacher Quality and Urban Education .....		26 MoReg 919	26 MoReg 1840	... This Issue
5 CSR 80-800.270	Teacher Quality and Urban Education .....		26 MoReg 922	26 MoReg 1840	
5 CSR 80-800.280	Teacher Quality and Urban Education .....		26 MoReg 922	26 MoReg 1841	
5 CSR 80-800.350	Teacher Quality and Urban Education .....		26 MoReg 923	26 MoReg 1841	
5 CSR 80-800.360	Teacher Quality and Urban Education .....		26 MoReg 925	26 MoReg 1841	
5 CSR 80-800.380	Teacher Quality and Urban Education .....		26 MoReg 926	26 MoReg 1842	
5 CSR 80-850.025	Teacher Quality and Urban Education .....		26 MoReg 1503		
5 CSR 90-7.010	Vocational Rehabilitation .....		26 MoReg 1506		
5 CSR 90-7.100	Vocational Rehabilitation .....		26 MoReg 1507		
5 CSR 90-7.200	Vocational Rehabilitation .....		26 MoReg 1511		
5 CSR 90-7.300	Vocational Rehabilitation .....		26 MoReg 1514		
5 CSR 90-7.310	Vocational Rehabilitation .....		26 MoReg 1514		
5 CSR 90-7.320	Vocational Rehabilitation .....		26 MoReg 1514		
5 CSR 100-200.010	Missouri Commission for the Deaf .....		26 MoReg 1660R		
			26 MoReg 1660		
5 CSR 100-200.030	Missouri Commission for the Deaf .....		26 MoReg 1661R		
			26 MoReg 1661		
5 CSR 100-200.040	Missouri Commission for the Deaf .....		26 MoReg 1662R		
			26 MoReg 1662		
5 CSR 100-200.050	Missouri Commission for the Deaf .....		26 MoReg 1662R		
			26 MoReg 1663		
5 CSR 100-200.060	Missouri Commission for the Deaf .....		26 MoReg 1663R		
			26 MoReg 1663		
5 CSR 100-200.070	Missouri Commission for the Deaf .....		26 MoReg 1664R		
			26 MoReg 1664		

Rule Number	Agency	Emergency	Proposed	Order	In Addition
5 CSR 100-200.075	Missouri Commission for the Deaf .....		26 MoReg 1665		
5 CSR 100-200.080	Missouri Commission for the Deaf .....		26 MoReg 1665		
5 CSR 100-200.085	Missouri Commission for the Deaf .....		26 MoReg 1666R		
	.....		26 MoReg 1666		
5 CSR 100-200.090	Missouri Commission for the Deaf .....		26 MoReg 1666R		
5 CSR 100-200.100	Missouri Commission for the Deaf .....		26 MoReg 1667R		
	.....		26 MoReg 1667		
5 CSR 100-200.110	Missouri Commission for the Deaf .....		26 MoReg 1667R		
5 CSR 100-200.120	Missouri Commission for the Deaf .....		26 MoReg 1668R		
5 CSR 100-200.125	Missouri Commission for the Deaf .....		26 MoReg 1668		
5 CSR 100-200.130	Missouri Commission for the Deaf .....		26 MoReg 1668R		
	.....		26 MoReg 1669		
5 CSR 100-200.140	Missouri Commission for the Deaf .....		26 MoReg 1670R		
	.....		26 MoReg 1670		
5 CSR 100-200.150	Missouri Commission for the Deaf .....		26 MoReg 1670R		
	.....		26 MoReg 1671		
5 CSR 100-200.170	Missouri Commission for the Deaf .....		26 MoReg 1673R		
	.....		26 MoReg 1673		
5 CSR 100-200.175	Missouri Commission for the Deaf .....		26 MoReg 1675R		
5 CSR 100-200.180	Missouri Commission for the Deaf .....		26 MoReg 1675R		
	.....		26 MoReg 1676		
5 CSR 100-200.200	Missouri Commission for the Deaf .....		26 MoReg 1676R		
5 CSR 100-200.210	Missouri Commission for the Deaf .....		26 MoReg 1677R		
	.....		26 MoReg 1677		

**DEPARTMENT OF LABOR AND INDUSTRIAL RELATIONS**

8 CSR 5-1.010	Administration .....	26 MoReg 1322R
8 CSR 70-1.010	Missouri Assistive Technology Advisory Council.....	26 MoReg 1797
8 CSR 70-1.020	Missouri Assistive Technology Advisory Council.....	26 MoReg 1568

**DEPARTMENT OF MENTAL HEALTH**

9 CSR 10-5.210	Director, Department of Mental Health .....	26 MoReg 705 .....	26 MoReg 1540
9 CSR 10-7.010	Director, Department of Mental Health .....	26 MoReg 708 .....	26 MoReg 1709
9 CSR 10-7.020	Director, Department of Mental Health .....	26 MoReg 710 .....	26 MoReg 1710.....26 MoReg 1846
9 CSR 10-7.030	Director, Department of Mental Health .....	26 MoReg 711 .....	26 MoReg 1710.....26 MoReg 1846
9 CSR 10-7.040	Director, Department of Mental Health .....	26 MoReg 714 .....	26 MoReg 1711
9 CSR 10-7.050	Director, Department of Mental Health .....	26 MoReg 714 .....	26 MoReg 1712
9 CSR 10-7.060	Director, Department of Mental Health .....	26 MoReg 715 .....	26 MoReg 1712
9 CSR 10-7.070	Director, Department of Mental Health .....	26 MoReg 716 .....	26 MoReg 1712
9 CSR 10-7.080	Director, Department of Mental Health .....	26 MoReg 717 .....	26 MoReg 1714
9 CSR 10-7.090	Director, Department of Mental Health .....	26 MoReg 718 .....	26 MoReg 1714
9 CSR 10-7.100	Director, Department of Mental Health .....	26 MoReg 719 .....	26 MoReg 1714
9 CSR 10-7.110	Director, Department of Mental Health .....	26 MoReg 719 .....	26 MoReg 1715
9 CSR 10-7.120	Director, Department of Mental Health .....	26 MoReg 720 .....	26 MoReg 1715
9 CSR 10-7.130	Director, Department of Mental Health .....	26 MoReg 723 .....	26 MoReg 1715
9 CSR 10-7.140	Director, Department of Mental Health .....	26 MoReg 725 .....	26 MoReg 1716
9 CSR 30-3.010	Certification Standards .....	26 MoReg 728R .....	26 MoReg 1716R
9 CSR 30-3.020	Certification Standards .....	26 MoReg 728R .....	26 MoReg 1717R
9 CSR 30-3.022	Certification Standards .....	26 MoReg 728 .....	26 MoReg 1717
9 CSR 30-3.030	Certification Standards .....	26 MoReg 729R .....	26 MoReg 1717R
9 CSR 30-3.032	Certification Standards .....	26 MoReg 729 .....	26 MoReg 1717
9 CSR 30-3.040	Certification Standards .....	26 MoReg 730R .....	26 MoReg 1718R
9 CSR 30-3.050	Certification Standards .....	26 MoReg 730R .....	26 MoReg 1718R
9 CSR 30-3.060	Certification Standards .....	26 MoReg 731R .....	26 MoReg 1718R
9 CSR 30-3.070	Certification Standards .....	26 MoReg 731R .....	26 MoReg 1718R
9 CSR 30-3.080	Certification Standards .....	26 MoReg 731R .....	26 MoReg 1718R
9 CSR 30-3.100	Certification Standards .....	26 MoReg 731 .....	26 MoReg 1718
9 CSR 30-3.110	Certification Standards .....	26 MoReg 735 .....	26 MoReg 1720
9 CSR 30-3.120	Certification Standards .....	26 MoReg 737 .....	26 MoReg 1721
9 CSR 30-3.130	Certification Standards .....	26 MoReg 739 .....	26 MoReg 1722
9 CSR 30-3.132	Certification Standards .....	26 MoReg 750 .....	26 MoReg 1724
	<i>(Changed from 9 CSR 30-3.610)</i>		
9 CSR 30-3.134	Certification Standards .....	26 MoReg 753 .....	26 MoReg 1726
	<i>(Changed from 9 CSR 30-3.611)</i>		
9 CSR 30-3.140	Certification Standards .....	26 MoReg 741 .....	26 MoReg 1726
9 CSR 30-3.150	Certification Standards .....	26 MoReg 742 .....	26 MoReg 1727
9 CSR 30-3.160	Certification Standards .....	26 MoReg 742 .....	26 MoReg 1727
9 CSR 30-3.190	Certification Standards .....	26 MoReg 745 .....	26 MoReg 1728 ....This Issue
9 CSR 30-3.192	Certification Standards .....	26 MoReg 746 .....	26 MoReg 1728
9 CSR 30-3.200	Certification Standards .....	26 MoReg 747R .....	26 MoReg 1729R
9 CSR 30-3.201	Certification Standards .....	26 MoReg 758 .....	26 MoReg 1729
	<i>(Changed from 9 CSR 30-3.700)</i>		
9 CSR 30-3.202	Certification Standards .....	26 MoReg 760 .....	26 MoReg 1729 ....This Issue
	<i>(Changed from 9 CSR 30-3.730)</i>		
9 CSR 30-3.204	Certification Standards .....	26 MoReg 762 .....	26 MoReg 1729
	<i>(Changed from 9 CSR 30-3.750)</i>		
9 CSR 30-3.206	Certification Standards .....	26 MoReg 764 .....	26 MoReg 1729
	<i>(Changed from 9 CSR 30-3.760)</i>		
9 CSR 30-3.208	Certification Standards .....	26 MoReg 768 .....	26 MoReg 1730
	<i>(Changed from 9 CSR 30-3.790)</i>		
9 CSR 30-3.210	Certification Standards .....	26 MoReg 748R .....	26 MoReg 1730R

Rule Number	Agency	Emergency	Proposed	Order	In Addition
9 CSR 30-3.220	Certification Standards		26 MoReg 748R	26 MoReg 1730R	
9 CSR 30-3.230	Certification Standards (Changed from 9 CSR 30-3.800)		26 MoReg 768	26 MoReg 1730	
9 CSR 30-3.240	Certification Standards		26 MoReg 748R	26 MoReg 1731R	
9 CSR 30-3.250	Certification Standards		26 MoReg 748R	26 MoReg 1731R	
9 CSR 30-3.300	Certification Standards (Changed from 9 CSR 30-3.630)		26 MoReg 755	26 MoReg 1731	
9 CSR 30-3.400	Certification Standards		26 MoReg 749R	26 MoReg 1731R	
9 CSR 30-3.410	Certification Standards		26 MoReg 749R	26 MoReg 1731R	
9 CSR 30-3.420	Certification Standards		26 MoReg 749R	26 MoReg 1732R	
9 CSR 30-3.500	Certification Standards		26 MoReg 749R	26 MoReg 1732R	
9 CSR 30-3.510	Certification Standards		26 MoReg 750R	26 MoReg 1732R	
9 CSR 30-3.600	Certification Standards		26 MoReg 750R	26 MoReg 1732R	
9 CSR 30-3.610	Certification Standards (Changed to 9 CSR 30-3.132)		26 MoReg 750	26 MoReg 1724	
9 CSR 30-3.611	Certification Standards (Changed to 9 CSR 30-3.134)		26 MoReg 753	26 MoReg 1726	
9 CSR 30-3.620	Certification Standards		26 MoReg 755R	26 MoReg 1732R	
9 CSR 30-3.621	Certification Standards		26 MoReg 755R	26 MoReg 1732R	
9 CSR 30-3.630	Certification Standards (Changed to 9 CSR 30-3.300)		26 MoReg 755	26 MoReg 1731	
9 CSR 30-3.700	Certification Standards (Changed to 9 CSR 30-3.201)		26 MoReg 758	26 MoReg 1729	
9 CSR 30-3.710	Certification Standards		26 MoReg 759R	26 MoReg 1733R	
9 CSR 30-3.720	Certification Standards		26 MoReg 759R	26 MoReg 1733R	
9 CSR 30-3.730	Certification Standards (Changed to 9 CSR 30-3.202)		26 MoReg 760	26 MoReg 1729	This Issue
9 CSR 30-3.740	Certification Standards		26 MoReg 762R	26 MoReg 1733R	
9 CSR 30-3.750	Certification Standards (Changed to 9 CSR 30-3.204)		26 MoReg 762	26 MoReg 1729	
9 CSR 30-3.760	Certification Standards (Changed to 9 CSR 30-3.206)		26 MoReg 764	26 MoReg 1729	
9 CSR 30-3.770	Certification Standards		26 MoReg 767R	26 MoReg 1733R	
9 CSR 30-3.780	Certification Standards		26 MoReg 767R	26 MoReg 1733R	
9 CSR 30-3.790	Certification Standards (Changed to 9 CSR 30-3.208)		26 MoReg 768	26 MoReg 1730	
9 CSR 30-3.800	Certification Standards (Changed to 9 CSR 30-2.230)		26 MoReg 768	26 MoReg 1730	
9 CSR 30-3.810	Certification Standards		26 MoReg 772R	26 MoReg 1733R	
9 CSR 30-3.820	Certification Standards		26 MoReg 772R	26 MoReg 1734R	
9 CSR 30-3.830	Certification Standards		26 MoReg 772R	26 MoReg 1734R	
9 CSR 30-3.840	Certification Standards		26 MoReg 773R	26 MoReg 1734R	
9 CSR 30-3.850	Certification Standards		26 MoReg 773R	26 MoReg 1734R	
9 CSR 30-3.851	Certification Standards		26 MoReg 773R	26 MoReg 1734R	
9 CSR 30-3.852	Certification Standards		26 MoReg 774R	26 MoReg 1734R	
9 CSR 30-3.853	Certification Standards		26 MoReg 774R	26 MoReg 1735R	
9 CSR 30-3.860	Certification Standards		26 MoReg 774R	26 MoReg 1735R	
9 CSR 30-3.870	Certification Standards		26 MoReg 774R	26 MoReg 1735R	
9 CSR 30-3.880	Certification Standards		26 MoReg 775R	26 MoReg 1735R	
9 CSR 30-3.890	Certification Standards		26 MoReg 775R	26 MoReg 1735R	
9 CSR 30-3.900	Certification Standards		26 MoReg 775R	26 MoReg 1735R	
9 CSR 30-3.910	Certification Standards		26 MoReg 775R	26 MoReg 1736R	
9 CSR 30-3.920	Certification Standards		26 MoReg 776R	26 MoReg 1736R	
9 CSR 30-3.930	Certification Standards		26 MoReg 776R	26 MoReg 1736R	
9 CSR 30-3.940	Certification Standards		26 MoReg 776R	26 MoReg 1736R	
9 CSR 30-3.950	Certification Standards		26 MoReg 776R	26 MoReg 1736R	
9 CSR 30-3.960	Certification Standards		26 MoReg 777R	26 MoReg 1736R	
9 CSR 30-3.970	Certification Standards		26 MoReg 777R	26 MoReg 1737R	
9 CSR 30-4.010	Certification Standards		26 MoReg 777	26 MoReg 1737	
9 CSR 30-4.020	Certification Standards		26 MoReg 778	26 MoReg 1737	
9 CSR 30-4.030	Certification Standards		26 MoReg 780	26 MoReg 1737	
9 CSR 30-4.031	Certification Standards		26 MoReg 781	26 MoReg 1738	
9 CSR 30-4.032	Certification Standards		26 MoReg 783	26 MoReg 1738	
9 CSR 30-4.033	Certification Standards		26 MoReg 784	26 MoReg 1738	
9 CSR 30-4.034	Certification Standards		26 MoReg 785	26 MoReg 1738	
9 CSR 30-4.035	Certification Standards		26 MoReg 787	26 MoReg 1739	This Issue
9 CSR 30-4.036	Certification Standards		26 MoReg 789R	26 MoReg 1740R	
9 CSR 30-4.037	Certification Standards		26 MoReg 790R	26 MoReg 1740R	
9 CSR 30-4.038	Certification Standards		26 MoReg 790	26 MoReg 1741	

Rule Number	Agency	Emergency	Proposed	Order	In Addition
9 CSR 30-4.190	Certification Standards .....		26 MoReg 798 .....	26 MoReg 1744	
<b>DEPARTMENT OF NATURAL RESOURCES</b>					
10 CSR 10-2.210	Air Conservation Commission .....		26 MoReg 507 .....	26 MoReg 1744	
10 CSR 10-6.050	Air Conservation Commission .....		26 MoReg 1456		
10 CSR 10-6.110	Air Conservation Commission .....		26 MoReg 1322 .....		26 MoReg 1846S
10 CSR 10-6.280	Air Conservation Commission .....		26 MoReg 1570		
10 CSR 10-6.400	Air Conservation Commission .....		26 MoReg 344 .....	26 MoReg 1540	
10 CSR 20-4.023	Clean Water Commission .....		26 MoReg 860		
10 CSR 20-4.043	Clean Water Commission .....		26 MoReg 861		
10 CSR 23-3.100	Division of Geology and Land Survey .....		26 MoReg 1163		
10 CSR 25	Hazardous Waste Management Commission .....				25 MoReg 2597RUC 26 MoReg 1476
10 CSR 25-1.010	Hazardous Waste Management Commission .....		26 MoReg 518 .....	26 MoReg 1752	
10 CSR 25-3.260	Hazardous Waste Management Commission .....		26 MoReg 518 .....	26 MoReg 1752	
10 CSR 25-4.261	Hazardous Waste Management Commission .....		26 MoReg 521 .....	26 MoReg 1752	
10 CSR 25-5.262	Hazardous Waste Management Commission .....		26 MoReg 523 .....	26 MoReg 1752	
10 CSR 25-7.264	Hazardous Waste Management Commission .....		26 MoReg 530 .....	26 MoReg 1753	
10 CSR 25-7.265	Hazardous Waste Management Commission .....		26 MoReg 531 .....	26 MoReg 1753	
10 CSR 25-7.266	Hazardous Waste Management Commission .....		26 MoReg 532 .....	26 MoReg 1753	
10 CSR 25-7.268	Hazardous Waste Management Commission .....		26 MoReg 533 .....	26 MoReg 1753	
10 CSR 25-7.270	Hazardous Waste Management Commission .....		26 MoReg 535 .....	26 MoReg 1754	
10 CSR 25-8.124	Hazardous Waste Management Commission .....		26 MoReg 538 .....	26 MoReg 1754	
10 CSR 25-9.020	Hazardous Waste Management Commission .....		26 MoReg 541 .....	26 MoReg 1754	
10 CSR 25-10.010	Hazardous Waste Management Commission .....		26 MoReg 545 .....	26 MoReg 1755	
10 CSR 25-11.279	Hazardous Waste Management Commission .....		26 MoReg 547 .....	26 MoReg 1755	
10 CSR 25-12.010	Hazardous Waste Management Commission .....		26 MoReg 548 .....	26 MoReg 1755 .....	25 MoReg 2253
10 CSR 25-13.010	Hazardous Waste Management Commission .....		26 MoReg 554 .....	26 MoReg 1755	
10 CSR 25-15.010	Hazardous Waste Management Commission .....		26 MoReg 559 .....	26 MoReg 1756	
10 CSR 25-16.273	Hazardous Waste Management Commission .....		26 MoReg 560 .....	26 MoReg 1756	
10 CSR 40-10.020	Land Reclamation Commission .....		26 MoReg 1798		
10 CSR 40-10.050	Land Reclamation Commission .....		26 MoReg 1798		
10 CSR 60-7.020	Land Reclamation Commission .....		26 MoReg 1799		
10 CSR 60-10.040	Land Reclamation Commission .....		26 MoReg 1801		
10 CSR 60-13.010	Public Drinking Water Program .....	26 MoReg 1257 .....	26 MoReg 563 .....	26 MoReg 1583	
10 CSR 60-13.020	Public Drinking Water Program .....		26 MoReg 569 .....	26 MoReg 1584	
10 CSR 60-13.025	Public Drinking Water Program .....		26 MoReg 571 .....	26 MoReg 1584	
10 CSR 60-14.020	Public Drinking Water Program .....				26 MoReg 1847
10 CSR 60-15.020	Public Drinking Water Program .....		26 MoReg 1802		
10 CSR 60-15.030	Public Drinking Water Program .....		26 MoReg 1804		
10 CSR 60-15.050	Public Drinking Water Program .....		26 MoReg 1804		
10 CSR 60-15.060	Public Drinking Water Program .....		26 MoReg 1805		
10 CSR 60-15.070	Public Drinking Water Program .....		26 MoReg 1809		
10 CSR 60-15.080	Public Drinking Water Program .....		26 MoReg 1813		
10 CSR 60-15.090	Public Drinking Water Program .....		26 MoReg 1816		
<b>DEPARTMENT OF PUBLIC SAFETY</b>					
11 CSR 30-7.010	Office of the Director .....		26 MoReg 1817		
11 CSR 40-5.065	Division of Fire Safety .....	26 MoReg 1125 .....	26 MoReg 1173 .....	26 MoReg 1844	
11 CSR 40-6.060	Division of Fire Safety .....	26 MoReg 857			
11 CSR 45-3.010	Missouri Gaming Commission .....		26 MoReg 1259		
11 CSR 45-4.380	Missouri Gaming Commission .....		26 MoReg 1259		
11 CSR 45-5.030	Missouri Gaming Commission .....		26 MoReg 799 .....	26 MoReg 1585	
11 CSR 45-5.100	Missouri Gaming Commission .....		26 MoReg 1054 .....	26 MoReg 1844	
11 CSR 45-5.237	Missouri Gaming Commission .....		26 MoReg 1054 .....	26 MoReg 1844	
11 CSR 45-7.030	Missouri Gaming Commission .....		26 MoReg 799 .....	26 MoReg 1585	
11 CSR 45-7.040	Missouri Gaming Commission .....		26 MoReg 802 .....	26 MoReg 1587	
11 CSR 45-7.050	Missouri Gaming Commission .....		26 MoReg 804 .....	26 MoReg 1588	
11 CSR 45-7.080	Missouri Gaming Commission .....		26 MoReg 806 .....	26 MoReg 1588	
11 CSR 45-7.130	Missouri Gaming Commission .....		26 MoReg 806 .....	26 MoReg 1588	
11 CSR 45-7.150	Missouri Gaming Commission .....		26 MoReg 806 .....	26 MoReg 1588	
11 CSR 45-12.090	Missouri Gaming Commission .....		26 MoReg 1055 .....	26 MoReg 1844	
11 CSR 45-12.091	Missouri Gaming Commission .....		26 MoReg 1057 .....	26 MoReg 1845	
11 CSR 50-2.020	Missouri State Highway Patrol .....	26 MoReg 1793 .....	26 MoReg 1817		
11 CSR 50-2.120	Missouri State Highway Patrol .....		26 MoReg 1818		
11 CSR 50-2.270	Missouri State Highway Patrol .....	26 MoReg 1793 .....	26 MoReg 1818		
<b>DEPARTMENT OF REVENUE</b>					
12 CSR	Construction Transient Employers .....				26 MoReg 600 26 MoReg 1214 26 MoReg 1848
12 CSR 10-3.020	Director of Revenue .....		26 MoReg 928R .....	26 MoReg 1589R	
12 CSR 10-3.022	Director of Revenue .....		26 MoReg 928R .....	26 MoReg 1589R	
12 CSR 10-3.023	Director of Revenue .....		26 MoReg 928R .....	26 MoReg 1589R	
12 CSR 10-3.024	Director of Revenue .....		26 MoReg 928R .....	26 MoReg 1589R	
12 CSR 10-3.060	Director of Revenue .....		26 MoReg 929R .....	26 MoReg 1589R	
12 CSR 10-3.066	Director of Revenue .....		26 MoReg 929R .....	26 MoReg 1590R	
12 CSR 10-3.076	Director of Revenue .....		26 MoReg 929R .....	26 MoReg 1590R	
12 CSR 10-3.086	Director of Revenue .....		26 MoReg 929R .....	26 MoReg 1590R	
12 CSR 10-3.092	Director of Revenue .....		26 MoReg 930R .....	26 MoReg 1590R	
12 CSR 10-3.094	Director of Revenue .....		26 MoReg 930R .....	26 MoReg 1590R	

Rule Number	Agency	Emergency	Proposed	Order	In Addition
12 CSR 10-3.096	Director of Revenue	.....	26 MoReg 930R	.....	26 MoReg 1590R
12 CSR 10-3.100	Director of Revenue	.....	26 MoReg 930R	.....	26 MoReg 1590R
12 CSR 10-3.122	Director of Revenue	.....	26 MoReg 930R	.....	26 MoReg 1591R
12 CSR 10-3.128	Director of Revenue	.....	26 MoReg 931R	.....	26 MoReg 1591R
12 CSR 10-3.136	Director of Revenue	.....	26 MoReg 931R	.....	26 MoReg 1591R
12 CSR 10-3.138	Director of Revenue	.....	26 MoReg 931R	.....	26 MoReg 1591R
12 CSR 10-3.160	Director of Revenue	.....	26 MoReg 931R	.....	26 MoReg 1591R
12 CSR 10-3.164	Director of Revenue	.....	26 MoReg 932R	.....	26 MoReg 1591R
12 CSR 10-3.174	Director of Revenue	.....	26 MoReg 932R	.....	26 MoReg 1592R
12 CSR 10-3.200	Director of Revenue	.....	26 MoReg 932R	.....	26 MoReg 1592R
12 CSR 10-3.202	Director of Revenue	.....	26 MoReg 932R	.....	26 MoReg 1592R
12 CSR 10-3.206	Director of Revenue	.....	26 MoReg 933R	.....	26 MoReg 1592R
12 CSR 10-3.208	Director of Revenue	.....	26 MoReg 933R	.....	26 MoReg 1592R
12 CSR 10-3.244	Director of Revenue	.....	26 MoReg 933R	.....	26 MoReg 1592R
12 CSR 10-3.280	Director of Revenue	.....	26 MoReg 1060R	.....	26 MoReg 1756R
12 CSR 10-3.452	Director of Revenue	.....	26 MoReg 933R	.....	26 MoReg 1592R
12 CSR 10-3.454	Director of Revenue	.....	26 MoReg 934R	.....	26 MoReg 1593R
12 CSR 10-3.456	Director of Revenue	.....	26 MoReg 934R	.....	26 MoReg 1593R
12 CSR 10-3.460	Director of Revenue	.....	26 MoReg 934R	.....	26 MoReg 1593R
12 CSR 10-3.462	Director of Revenue	.....	26 MoReg 934R	.....	26 MoReg 1593R
12 CSR 10-3.464	Director of Revenue	.....	26 MoReg 934R	.....	26 MoReg 1593R
12 CSR 10-3.494	Director of Revenue	.....	26 MoReg 935R	.....	26 MoReg 1593R
12 CSR 10-3.882	Director of Revenue	.....	26 MoReg 1060R	.....	26 MoReg 1756R
12 CSR 10-3.890	Director of Revenue	.....	26 MoReg 935R	.....	26 MoReg 1594R
12 CSR 10-4.270	Director of Revenue	.....	26 MoReg 935R	.....	26 MoReg 1594R
12 CSR 10-5.005	Director of Revenue	.....	26 MoReg 935R	.....	26 MoReg 1594R
12 CSR 10-5.025	Director of Revenue	.....	26 MoReg 936R	.....	26 MoReg 1594R
12 CSR 10-5.505	Director of Revenue	.....	26 MoReg 936R	.....	26 MoReg 1594R
12 CSR 10-5.515	Director of Revenue	.....	26 MoReg 936R	.....	26 MoReg 1594R
12 CSR 10-23.452	Director of Revenue	.....	26 MoReg 1458	.....	
12 CSR 10-24.030	Director of Revenue	.....	26 MoReg 1677	.....	
12 CSR 10-24.442	Director of Revenue	.....	26 MoReg 1458	.....	
12 CSR 10-24.465	Director of Revenue	.....	26 MoReg 1329	.....	
12 CSR 10-110.600	Director of Revenue	.....	26 MoReg 1678	.....	
12 CSR 10-110.955	Director of Revenue	.....	26 MoReg 1679	.....	
<b>DEPARTMENT OF SOCIAL SERVICES</b>					
13 CSR 15-4.010	Division of Aging	.....	26 MoReg 807	.....	
13 CSR 15-9.010	Division of Aging	.....	26 MoReg 53	.....	26 MoReg 1208
		26 MoReg 1501	.....	26 MoReg 1515	
13 CSR 30-2.010	Child Support Enforcement	.....	26 MoReg 1060	.....	26 MoReg 1756
13 CSR 30-10.010	Child Support Enforcement	.....	26 MoReg 1173	.....	26 MoReg 1756R
		.....	26 MoReg 1681	.....	
13 CSR 70-4.090	Medical Services	.....	26 MoReg 936	.....	26 MoReg 1757
13 CSR 70-10.015	Medical Services	.....	26 MoReg 1820	.....	
13 CSR 70-10.110	Medical Services	.....	This Issue	.....	This Issue
13 CSR 70-10.150	Medical Services	.....	26 MoReg 1502	.....	26 MoReg 1515
13 CSR 70-15.010	Medical Services	.....	26 MoReg 903	.....	26 MoReg 940
		.....	.....	26 MoReg 1595	
		.....	This Issue	.....	
13 CSR 70-15.040	Medical Services	.....	This Issue	.....	
13 CSR 70-15.110	Medical Services	.....	26 MoReg 1307	.....	26 MoReg 1329
13 CSR 70-15.150	Medical Services	.....	26 MoReg 904	.....	26 MoReg 940
		.....	.....	26 MoReg 1595	
13 CSR 70-50.010	Medical Services	.....	This Issue	.....	
13 CSR 73-2.020	Missouri Board of Nursing Home Administrators	.....	26 MoReg 1180	.....	This Issue
13 CSR 73-2.041	Missouri Board of Nursing Home Administrators	.....	26 MoReg 1184R	.....	This Issue
<b>ELECTED OFFICIALS</b>					
15 CSR 30-4.010	Secretary of State	.....	26 MoReg 1825R	.....	
		.....	26 MoReg 1825	.....	
15 CSR 30-9.010	Secretary of State	.....	26 MoReg 1828	.....	
15 CSR 30-9.020	Secretary of State	.....	26 MoReg 1828	.....	
15 CSR 30-9.030	Secretary of State	.....	26 MoReg 1829	.....	
15 CSR 30-10.020	Secretary of State	.....	26 MoReg 1829R	.....	
		.....	26 MoReg 1829	.....	
15 CSR 30-10.040	Secretary of State	.....	26 MoReg 1831R	.....	
		.....	26 MoReg 1831	.....	
15 CSR 30-10.060	Secretary of State	.....	26 MoReg 1832R	.....	
		.....	26 MoReg 1832	.....	
15 CSR 30-55.010	Secretary of State	.....	26 MoReg 1331R	.....	
		.....	26 MoReg 1331	.....	
15 CSR 30-55.020	Secretary of State	.....	26 MoReg 1331R	.....	
		.....	26 MoReg 1332	.....	
15 CSR 30-55.025	Secretary of State	.....	26 MoReg 1332	.....	
15 CSR 30-55.030	Secretary of State	.....	26 MoReg 1333R	.....	
		.....	26 MoReg 1333	.....	
15 CSR 30-55.040	Secretary of State	.....	26 MoReg 1333R	.....	
		.....	26 MoReg 1334	.....	
15 CSR 30-55.050	Secretary of State	.....	26 MoReg 1334R	.....	
		.....	26 MoReg 1334	.....	
15 CSR 30-55.070	Secretary of State	.....	26 MoReg 1335R	.....	
		.....	26 MoReg 1335	.....	

Rule Number	Agency	Emergency	Proposed	Order	In Addition
15 CSR 30-55.080	Secretary of State .....	26 MoReg 1335R			
15 CSR 30-55.090	Secretary of State .....	26 MoReg 1336			
	.....	26 MoReg 1336R			
	.....	26 MoReg 1336			
15 CSR 30-55.110	Secretary of State .....	26 MoReg 1337R			
	.....	26 MoReg 1337			
15 CSR 30-55.220	Secretary of State .....	26 MoReg 1337			
15 CSR 60-3.020	Attorney General .....	26 MoReg 808 .....	26 MoReg 1595		
15 CSR 60-3.030	Attorney General .....	26 MoReg 809 .....	26 MoReg 1595		
15 CSR 60-3.040	Attorney General .....	26 MoReg 809 .....	26 MoReg 1595		
15 CSR 60-3.050	Attorney General .....	26 MoReg 810 .....	26 MoReg 1595		
15 CSR 60-3.090	Attorney General .....	26 MoReg 810 .....	26 MoReg 1596		
15 CSR 60-3.110	Attorney General .....	26 MoReg 810 .....	26 MoReg 1596		
15 CSR 60-3.120	Attorney General .....	26 MoReg 811 .....	26 MoReg 1596		
15 CSR 60-10.020	Attorney General .....	26 MoReg 1684R			
	.....	26 MoReg 1684			
15 CSR 60-10.030	Attorney General .....	26 MoReg 1685R			
	.....	26 MoReg 1685			
<b>RETIREMENT SYSTEMS</b>					
16 CSR 10-3.010	The Public School Retirement System of Missouri .....	26 MoReg 1060 .....	26 MoReg 1757		
16 CSR 10-4.012	The Public School Retirement System of Missouri .....	26 MoReg 1833			
16 CSR 10-5.030	The Public School Retirement System of Missouri .....	26 MoReg 1459			
16 CSR 10-5.055	The Public School Retirement System of Missouri .....	26 MoReg 1834			
16 CSR 10-5.070	The Public School Retirement System of Missouri .....	26 MoReg 1834			
16 CSR 10-6.045	The Public School Retirement System of Missouri .....	26 MoReg 1835			
16 CSR 10-6.090	The Public School Retirement System of Missouri .....	26 MoReg 1459			
16 CSR 50-2.030	The County Employees' Retirement Fund .....	26 MoReg 1184 .....	This Issue		
16 CSR 50-2.050	The County Employees' Retirement Fund .....	26 MoReg 1835			
16 CSR 50-2.130	The County Employees' Retirement Fund .....	26 MoReg 1571			
<b>DEPARTMENT OF HEALTH</b>					
19 CSR 10-4.030	Office of the Director .....	26 MoReg 857 .....	26 MoReg 862 .....	26 MoReg 1596	
19 CSR 10-33.010	Office of the Director .....	26 MoReg 689 .....	26 MoReg 1061 .....	26 MoReg 1757	
19 CSR 10-33.020	Office of the Director .....	26 MoReg 1081 .....	26 MoReg 1764		
19 CSR 10-33.030	Office of the Director .....	26 MoReg 1087 .....	26 MoReg 1764		
19 CSR 20-3.050	Division of Environmental Health and Communicable Disease Prevention .....	26 MoReg 1518R			
	.....	26 MoReg 1518			
19 CSR 25-30.011	Division of Administration .....	26 MoReg 1126 .....	26 MoReg 1184 .....	26 MoReg 1845	
19 CSR 25-30.050	Division of Administration .....	26 MoReg 1126 .....	26 MoReg 1185 .....	26 MoReg 1845	
19 CSR 25-30.070	Division of Administration .....	26 MoReg 1127 .....	26 MoReg 1185 .....	26 MoReg 1845	
19 CSR 25-30.080	Division of Administration .....	26 MoReg 1127 .....	26 MoReg 1186 .....	26 MoReg 1845	
19 CSR 30-20.011	Division of Health Standards and Licensure .....	26 MoReg 1531			
19 CSR 30-20.015	Division of Health Standards and Licensure .....	26 MoReg 1531			
19 CSR 30-20.021	Division of Health Standards and Licensure .....	26 MoReg 1533			
19 CSR 30-80.010	Division of Health Standards and Licensure .....	25 MoReg 2629 .....	26 MoReg 943 .....	26 MoReg 1596	
19 CSR 30-80.020	Division of Health Standards and Licensure .....	25 MoReg 2629 .....	26 MoReg 943 .....	26 MoReg 1596	
19 CSR 30-80.030	Division of Health Standards and Licensure .....	25 MoReg 2630 .....	26 MoReg 944 .....	26 MoReg 1597	
19 CSR 30-80.040	Division of Health Standards and Licensure .....	25 MoReg 2631 .....	26 MoReg 948 .....	26 MoReg 1597	
19 CSR 40-9.010	Division of Maternal, Child and Family Health .....	26 MoReg 1686			
19 CSR 40-9.020	Division of Maternal, Child and Family Health .....	26 MoReg 1687			
19 CSR 40-9.040	Division of Maternal, Child and Family Health .....	26 MoReg 1697			
19 CSR 60-50.420	Missouri Health Facilities Review .....			26 MoReg 1363	
	.....			26 MoReg 1542	
	.....			26 MoReg 1765	
	.....			26 MoReg 1847	
<b>DEPARTMENT OF INSURANCE</b>					
20 CSR	Medical Malpractice .....			25 MoReg 597	
	.....			26 MoReg 599	
	Sovereign Immunity Limits .....			25 MoReg 724	
	.....			26 MoReg 75	
20 CSR 100-6.100	Division of Consumer Affairs .....	26 MoReg 1392 .....	This Issue		
20 CSR 200-1.030	Financial Examination .....	26 MoReg 1459			
20 CSR 200-11.101	Financial Examination .....	26 MoReg 1460			
20 CSR 200-11.120	Financial Examination .....	26 MoReg 1467			
20 CSR 200-12.020	Financial Examination .....	26 MoReg 1471			
20 CSR 200-17.100	Financial Examination .....	26 MoReg 1471			
20 CSR 200-17.200	Financial Examination .....	26 MoReg 1472			
20 CSR 200-17.300	Financial Examination .....	26 MoReg 1472			
20 CSR 400-1.100	Life, Annuities and Health .....	26 MoReg 811 .....	26 MoReg 1597		

## Emergency Rules in Effect as of October 1, 2001

**Expires**

### Department of Agriculture

#### Market Development

- 2 CSR 10-5.010 Price Reporting Requirements for Livestock Purchases by Packers . . . . .February 28, 2002  
2 CSR 10-5.010 Rules Governing Livestock Purchases by Packers . . . . .February 28, 2002

### Department of Economic Development

#### Missouri State Board of Accountancy

- 4 CSR 10-2.160 Fees . . . . .January 15, 2002

### Department of Public Safety

#### Division of Fire Safety

- 11 CSR 40-5.065 Missouri Minimum Safety Codes for Existing Elevator Equipment . . . . .November 5, 2001

#### Missouri State Highway Patrol

- 11 CSR 50-2.020 Minimum Inspection Station Requirements . . . . .February 28, 2002  
11 CSR 50-2.270 Glazing (Glass) . . . . .February 28, 2002

### Department of Revenue

#### Director of Revenue

- 12 CSR 10-24.030 Hearings . . . . .March 28, 2002

### Department of Social Services

#### Division of Aging

- 13 CSR 15-9.010 General Certification Requirements . . . . .February 28, 2002

#### Division of Family Services

- 13 CSR 40-19.020 Low Income Home Energy Assistance Program . . . . .March 29, 2002

#### Division of Medical Services

- 13 CSR 70-10.110 Nursing Facility Reimbursement Allowance . . . . .March 6, 2002  
13 CSR 70-10.150 Enhancement Pools . . . . .February 28, 2002  
13 CSR 70-15.010 Inpatient Hospital Services Reimbursement Plan; Outpatient Hospital Services  
Reimbursement Methodology . . . . .October 15, 2001  
13 CSR 70-15.110 Federal Reimbursement Allowance (FRA) . . . . .December 8, 2001  
13 CSR 70-15.150 Enhancement Pools . . . . .October 15, 2001

### Elected Officials

#### Attorney General

- 15 CSR 60-13.060 Methods by Which a Person or Entity Desiring to make Telephone Solicitations Will  
Obtain Access to the Database of Residential Subscribers' Notices of Objection to  
Receiving Telephone Solicitations and the Cost Assessed for Access to the Database . . . . .March 29, 2002

### Department of Health

#### Office of the Director

- 19 CSR 10-4.030 National Interest Waiver Program . . . . .January 17, 2002  
19 CSR 10-33.010 Reporting Patient Abstract Data by Hospitals and Ambulatory Surgical Centers . . . . .January 10, 2002

#### Division of Administration

- 19 CSR 25-30.011 General Provisions for the Determination of Blood, Breath, Saliva or Urine Analysis  
and Drug Testing . . . . .November 17, 2001  
19 CSR 25-30.050 Approved Breath Analyzers . . . . .November 17, 2001  
19 CSR 25-30.070 Approval of Methods for the Determination of Blood Alcohol Content from  
Samples of Blood, Urine or Saliva . . . . .November 17, 2001  
19 CSR 25-30.080 Approval of Methods for the Analysis of Blood and Urine for the Presence of Drugs . . . .November 17, 2001

### Department of Insurance

#### Division of Consumer Affairs

- 20 CSR 100-6.100 Privacy of Financial Information . . . . .December 28, 2001

The rule number and the MoReg publication date follow each entry to this index.

## ACCOUNTANCY

fees; 4 CSR 10-2.160; 8/1/01

## ACUPUNCTURIST ADVISORY COMMITTEE

application; 4 CSR 15-2.010; 9/4/01

code of ethics; 4 CSR 15-3.020; 9/4/01

fees; 4 CSR 15-1.030; 9/4/01

information, complaints; 4 CSR 150-1.010; 9/4/01

license renewal; 4 CSR 15-2.020; 9/4/01

standards of practice; 4 CSR 15-3.010; 9/4/01

supervision

acupuncturist trainees; 4 CSR 15-4.020; 9/4/01

auricular detox technicians; 4 CSR 15-4.010; 9/4/01

titling; 4 CSR 15-1.020; 9/4/01

## ADMINISTRATIVE HEARING COMMISSION

answers, pleadings; 1 CSR 15-3.380, 1 CSR 15-5.380, 1 CSR 15-6.380; 2/15/01, 6/1/01

bench rulings, memorandum decisions; 1 CSR 15-5.530, 1 CSR 15-6.530; 2/15/01, 6/1/01

certifications of records; 1 CSR 15-5.580, 1 CSR 15-6.580; 2/15/01, 6/1/01

closing of case records, hearings; 1 CSR 15-5.410, 1 CSR 15-6.410; 2/15/01, 6/1/01

complaints; 1 CSR 15-3.350, 1 CSR 15-5.350, 1 CSR 15-6.350; 2/15/01, 6/1/01

hearings on; 1 CSR 15-3.490, 1 CSR 15-6.490; 2/15/01, 6/1/01

computation of time; 1 CSR 15-5.230, 1 CSR 15-6.230; 2/15/01, 6/1/01

definitions; 1 CSR 15-3.210, 1 CSR 15-5.210, 1 CSR 15-6.210; 2/15/01, 6/1/01

determination of cases without hearing; 1 CSR 15-2.450, 1 CSR 15-3.450, 1 CSR 15-5.450, 1 CSR 15-6.450; 2/15/01, 6/1/01

discovery; 1 CSR 15-5.420, 1 CSR 15-6.420; 2/15/01, 6/1/01

dismissal; 1 CSR 15-5.430, 1 CSR 15-6.430; 2/15/01, 6/1/01

documents, filing; fax; posting bond; 1 CSR 15-2.290, 1 CSR 15-3.290; 2/15/01, 6/1/01

fax filing; 1 CSR 15-5.290, 1 CSR 15-6.290; 2/15/01, 6/1/01

fees, expenses; 1 CSR 15-2.560, 1 CSR 15-3.560,

1 CSR 15-5.560, 1 CSR 15-6.560; 2/15/01, 6/1/01

hearings on

complaints; 1 CSR 15-5.490; 2/15/01, 6/1/01

motions; 1 CSR 15-5.480, 1 CSR 15-6.480; 2/15/01, 6/1/01

intervention; 1 CSR 15-5.390, 1 CSR 15-6.390; 2/15/01, 6/1/01

practice by a licensed attorney; 1 CSR 15-5.250, 1 CSR 15-6.250; 2/15/01, 6/1/01

prehearing conferences; 1 CSR 15-5.470, 1 CSR 15-6.470; 2/15/01, 6/1/01

service of filing; 1 CSR 15-5.270, 1 CSR 15-6.270; 2/15/01, 6/1/01

stays or suspensions; 1 CSR 15-3.320, 1 CSR 15-5.320, 1 CSR 15-6.320; 2/15/01, 6/1/01

subject matter; 1 CSR 15-2.200, 1 CSR 15-3.200; 2/15/01, 6/1/01

transcripts; 1 CSR 15-5.510, 1 CSR 15-6.510; 2/15/01, 6/1/01

## AGING, DIVISION OF

certification; 13 CSR 15-9.010; 1/2/01, 6/1/01, 8/1/01

funding formula, fiscal management; 13 CSR 15-4.050; 2/15/01, 6/1/01

## AGRICULTURE AND SMALL BUSINESS DEVELOPMENT

tax credits, distribution, repayment; 2 CSR 100-10.010; 9/4/01

## AIR QUALITY, POLLUTION

compliance monitoring usage; 10 CSR 10-6.280; 8/15/01

emissions

data, fees, process information; 10 CSR 10-6.110; 7/2/01

particulate matter; 10 CSR 10-6.400; 2/1/01, 8/1/01

solvent metal cleaning; 10 CSR 10-2.210; 3/1/01, 9/4/01

incinerators; 10 CSR 10-6.200; 11/15/00, 6/15/01

waiver; 10 CSR 10-5.375; 3/15/01

operating permits; 10 CSR 10-6.065; 5/1/00

petroleum, control of; 10 CSR 10-2.260; 1/2/01, 6/15/01

reference methods; 10 CSR 10-6.040; 11/15/00, 6/15/01

start-up, shutdown, malfunction conditions; 10 CSR 10-6.050; 7/16/01

## AMUSEMENT RIDES

inspectors; 11 CSR 40-6.060; 4/16/01

## APPRAISERS, REAL ESTATE

application; 4 CSR 245-5.020; 5/15/01, 9/4/01

payment; 4 CSR 245-5.010; 5/15/01, 9/4/01

## ARCHITECTS, PROFESSIONAL ENGINEERS, PROFESSIONAL LAND SURVEYORS

land surveyor

development units; 4 CSR 30-8.020; 7/16/01

licensure; 4 CSR 30-11.020; 7/16/01

renewal period; 4 CSR 30-11.010; 7/16/01

requirements; 4 CSR 30-8.020; 7/16/01

## ASSISTIVE TECHNOLOGY PROGRAM

loan program; 8 CSR 70-1.020; 8/15/01

telecommunications access program; 8 CSR 70-1.010, 9/17/01

## ATHLETIC TRAINERS, REGISTRATION OF

definitions; 4 CSR 150-6.010; 9/4/01

## ATTORNEY GENERAL, OFFICE OF THE

forms; 15 CSR 60-3.020; 4/2/01, 8/15/01

no-call database

access; 15 CSR 60-13.060; 4/2/01, 7/16/01

organizations

annual report; 15 CSR 60-3.090; 4/2/01, 8/15/01

charitable; 15 CSR 60-3.030; 4/2/01, 8/15/01

individual; 15 CSR 60-3.050; 4/2/01, 8/15/01

professional; 15 CSR 60-3.040; 4/2/01, 8/15/01

renewal application; 15 CSR 60-3.110, 15 CSR 60-3.120; 4/2/01, 8/15/01

reporting of motor vehicle stops

forms; 15 CSR 60-10.030; 9/4/01

report to attorney general; 15 CSR 60-10.020; 9/4/01

## BLOOD ALCOHOL CONTENT

analysis of blood and urine for the presence of drugs; 19 CSR 25-30.080; 6/1/01, 9/17/01

breath analyzers, approved; 19 CSR 25-30.050; 6/1/01, 9/17/01

determination by blood, breath, saliva, or urine analysis;

19 CSR 25-30.011; 6/1/01, 9/17/01

methods for determination; 19 CSR 25-30.070; 6/1/01, 9/17/01



**CAFETERIA PLAN**

cafeteria plan; 1 CSR 10-15.010; 1/16/01, 3/15/01, 6/15/01

**CHILD SUPPORT ENFORCEMENT**

performance standards, prosecuting attorneys; 13 CSR 30-2.010; 5/15/01, 9/4/01

service fees

annual; 13 CSR 30-10.010; 6/1/01, 9/4/01

monthly, 13 CSR 30-10.020; 6/1/01, 7/16/01, 9/4/01

**CLEAN WATER COMMISSION**

40% construction grant; 10 CSR 20-4.023; 4/16/01

certification, operators; 10 CSR 20-14.020; 12/15/00, 6/15/01

concentrated animal feeding operation; 10 CSR 20-14.010; 12/15/00, 6/15/01

fees; 10 CSR 20-6.011; 12/15/00, 6/15/01

hardship grants; 10 CSR 20-4.043; 4/16/01

operator training; 10 CSR 20-14.030; 12/15/00, 6/15/01

water quality certification; 10 CSR 20-6.060; 12/15/00, 6/15/01

**CONSERVATION COMMISSION**

areas; 3 CSR 10-4.115; 6/1/01, 8/15/01

owned by other entities; 3 CSR 10-4.116; 3/15/01, 6/1/01, 8/15/01

black bass; 3 CSR 10-6.505; 6/1/01, 8/15/01

boats, motors; 3 CSR 10-11.160, 3 CSR 10-12.110; 6/1/01, 8/15/01

bullfrogs, green frogs; 3 CSR 10-11.165, 3 CSR 10-12.115; 6/1/01, 8/15/01

camping; 3 CSR 10-11.140; 6/1/01, 8/15/01

closed hours; 3 CSR 10-12.109; 7/2/01, 9/17/01

closing; 3 CSR 10-11.115; 6/1/01, 8/15/01

decoys, blinds; 3 CSR 10-11.155; 6/1/01, 8/15/01

deer; 3 CSR 10-7.435; 7/2/01

hunting; 3 CSR 10-11.182; 6/1/01, 8/15/01, 10/1/01

managed hunts; 3 CSR 10-11.183; 6/1/01, 8/15/01

definitions; 3 CSR 10-11.805, 3/15/01, 6/1/01, 8/15/01  
3 CSR 10-20.805; 6/1/01, 8/15/01

falconry; 3 CSR 10-9.442; 10/1/01

fishing

hours, methods; 3 CSR 10-11.205; 6/1/01, 8/15/01

length limits; 3 CSR 10-11.215, 3 CSR 10-12.145; 6/1/01, 8/15/01, 10/1/01

limits, daily and possession; 3 CSR 10-11.210, 3 CSR 10-12.140; 6/1/01, 8/15/01, 10/1/01

methods; 3 CSR 10-6.410; 6/1/01, 8/15/01; 3 CSR 10-12.135; 6/1/01, 8/15/01, 10/1/01

provisions, general; 3 CSR 10-12.130; 6/1/01, 8/15/01

seasons; 3 CSR 10-11.200; 6/1/01, 8/15/01, 10/1/01

ginseng; 3 CSR 10-4.113; 6/1/01, 8/15/01

hound running area; 3 CSR 10-9.575; 6/1/01, 8/15/01

hunting, seasons; 3 CSR 10-11.180; 6/1/01, 8/15/01

hunting, trapping; 3 CSR 10-12.125; 6/1/01, 8/15/01

migratory game birds, 3 CSR 10-7.440; 7/2/01, 10/1/01

organization; 3 CSR 10-1.010; 9/17/01

paddlefish; 3 CSR 10-6.525; 6/1/01, 8/15/01

permits; 3 CSR 10-5.205; 6/1/01, 8/15/01

commercial deer processing; 3 CSR 10-10.744; 6/1/01, 8/15/01

field and retriever trial; 3 CSR 10-9.625; 6/1/01, 8/15/01

how obtained; 3 CSR 10-5.215; 6/1/01, 8/15/01

nonresident firearms deer

any-deer hunting; 3 CSR 10-5.551; 10/1/01

hunting; 3 CSR 10-5.550; 10/1/01

managed deer hunt; 3 CSR 10-5.559; 10/1/01

resident lifetime permit

conservation partner; 3 CSR 10-5.310; 6/1/01, 8/15/01

fishing; 3 CSR 10-5.315; 6/1/01, 8/15/01

hunting, small game; 3 CSR 10-5.320; 6/1/01, 8/15/01

revocation; 3 CSR 10-5.216; 6/1/01, 8/15/01

turkey archers; 3 CSR 10-5.560; 10/1/01

nonresident; 3 CSR 10-5.565; 10/1/01

pets, hunting dogs; 3 CSR 10-11.120; 6/1/01, 8/15/01

prohibitions; 3 CSR 10-9.110; 7/2/01, 9/17/01

provisions; 3 CSR 10-6.405; 6/1/01, 8/15/01

restricted activities; 3 CSR 10-11.110; 6/1/01, 8/15/01

target shooting, ranges; 3 CSR 10-11.150; 6/1/01, 8/15/01

title; 3 CSR 10-11.105, 3 CSR 10-12.101; 6/1/01, 8/15/01

trapping; 3 CSR 10-11.187; 6/1/01, 8/15/01

tree stands; 3 CSR 10-11.145; 6/1/01, 8/15/01

trout parks; 3 CSR 10-12.150; 6/1/01, 8/15/01

turkeys; 3 CSR 10-7.455; 6/1/01

vehicles, bicycles, horses; 3 CSR 10-11.130; 6/1/01, 8/15/01

waterfowl hunting; 3 CSR 10-11.186; 6/1/01, 8/15/01

wildlife refuges; 3 CSR 10-12.105; 6/1/01, 8/15/01

wild plants, plant products, mushrooms; 3 CSR 10-11.135; 6/1/01, 8/15/01

**COSMETOLOGY, STATE BOARD OF**

hours; 4 CSR 90-8.010; 4/2/01, 7/16/01

reciprocity; 4 CSR 90-7.010; 2/1/01, 6/15/01

sanitation; 4 CSR 90-11.010; 2/1/01, 6/15/01

**CREDIT UNIONS**

call reports; 4 CSR 100-2.160; 9/17/01

delinquent loan, extension agreements; 4 CSR 100-2.060; 6/1/01, 9/4/01

loans; 4 CSR 100-2.040; 9/17/01

**DEAF, MISSOURI COMMISSION FOR THE**

appeal rights; 5 CSR 100-200.180; 9/4/01

application; 5 CSR 100-200.050; 9/4/01

certification

maintenance; 5 CSR 100-200.130; 9/4/01

renewal; 5 CSR 100-200.125; 9/4/01

restricted; 5 CSR 100-200.040; 9/4/01

validation; 5 CSR 100-200.120; 9/4/01

conversion procedure; 5 CSR 100-200.100; 9/4/01

enforcement; 5 CSR 100-200.200; 9/4/01

evaluation; 5 CSR 100-200.070; 9/4/01

performance; 5 CSR 100-200.080; 9/4/01

examination, written; 5 CSR 100-200.060; 9/4/01

fees; 5 CSR 100-200.150; 9/4/01

grandfather clause; 5 CSR 100-200.110; 9/4/01

grievance procedure; 5 CSR 100-200.180; 9/4/01

interpreter certification system; 5 CSR 100-200.030; 9/4/01

mentorship; 5 CSR 100-200.175; 9/4/01

name and address change; 5 CSR 100-200.140; 9/4/01

organization; 5 CSR 100-200.010; 9/4/01

permit

intern/practicum eligibility; 5 CSR 100-200.085; 9/4/01

restricted; 5 CSR 100-200.040; 9/4/01

temporary; 5 CSR 100-200.090; 9/4/01

recertification, voluntary; 5 CSR 100-200.075; 9/4/01

reinstatement; 5 CSR 100-200.210; 9/4/01

skill level standards; 5 CSR 100-200.170; 9/4/01

test, written; 5 CSR 100-200.060; 9/4/01

**DENTAL BOARD, MISSOURI**

deep sedation/anesthesia; 4 CSR 110-2.180; 7/16/01

fees; 4 CSR 110-2.170; 7/16/01

**DRIVERS LICENSE BUREAU RULES**

day disqualifications, stacking; 12 CSR 10-24.442; 7/16/01

hearings; 12 CSR 10-24.030; 9/4/01

railroad crossing violations; 12 CSR 10-24.465; 7/2/01

**DRIVING WHILE INTOXICATED RECORDS**

collection; 11 CSR 30-2.010; 4/16/01, 7/16/01

**ELECTIONS**

electronic voting machines

ballot tabulation; 15 CSR 30-10.040; 9/17/01

election procedures; 15 CSR 30-10.060; 9/17/01

certification statement; 15 CSR 30-10.020; 9/17/01

paper ballots; 19 CSR 30-9.030; 9/17/01

postcard voter applications; 15 CSR 30-4.010; 9/17/01

punch card voting systems; 15 CSR 30-9.010; 9/17/01

optical scan voting systems; 15 CSR 30-9.020; 9/17/01

**ELEMENTARY AND SECONDARY EDUCATION**

certificate to teach

administrators; 5 CSR 80-800.220; 5/1/01, 9/17/01

adult education and literacy; 5 CSR 80-800.280; 5/1/01, 9/17/01

application; 5 CSR 80-800.200; 5/1/01, 9/17/01

adult education and literacy; 5 CSR 80-800.280; 5/1/01, 9/17/01

pupil personnel services; 5 CSR 80-800.230; 5/1/01, 9/17/01

special assignment; 5 CSR 80-800.260; 5/1/01, 9/17/01

vocational-technical; 5 CSR 80-800.270; 5/1/01, 9/17/01

assessments, required; 5 CSR 80-800.380; 5/1/01, 9/17/01

classifications; 5 CSR 80-800.360; 5/1/01, 9/17/01

content areas; 5 CSR 80-800.350; 5/1/01, 9/17/01

definitions; 5 CSR 90-7.010; 8/1/01

high school equivalence program; 5 CSR 60-100.020; 5/1/01, 9/17/01

individuals with disabilities education act; 5 CSR 70-742.140; 8/15/01

personal care assistance program

appeals; 5 CSR 90-7.300; 8/1/01

eligibility; 5 CSR 90-7.100; 8/1/01

hearings; 5 CSR 90-7.320; 8/1/01

informal review; 5 CSR 90-7.310; 8/1/01

providers; 5 CSR 90-7.200; 8/1/01

school buses

chassis, body; 5 CSR 30-261.025; 5/1/01, 9/17/01

service providers, standards; 5 CSR 90-4.120; 1/16/01, 6/1/01

student suicide prevention; 5 CSR 60-120.080; 1/16/01, 6/1/01

teacher loans, forgivable; 5 CSR 80-850.025; 8/1/01

vocational rehabilitation

services; 5 CSR 90-5.400; 1/16/01, 6/1/01

training; 5 CSR 90-5.440; 1/16/01, 6/1/01

waiver of regulations; 5 CSR 30-345.020 (changed to 5 CSR 50-345.020); 7/2/01

**ELEVATORS**

safety codes for equipment; 11 CSR 40-5.065; 6/1/01, 9/17/01

**EMBALMERS AND FUNERAL DIRECTORS**

fees; 4 CSR 120-2.100; 5/15/01, 9/4/01

**FAMILY CARE SAFETY REGISTRY**

definitions; 19 CSR 30-80.010; 11/1/00, 5/1/01, 8/15/01

general; 19 CSR 30-80.020; 11/1/00, 5/1/01, 8/15/01

updates and appeals; 19 CSR 30-80.040; 11/1/00, 5/1/01, 8/15/01

worker registration; 19 CSR 30-80.030; 11/1/00, 5/1/01, 8/15/01

**FINANCE, DIVISION OF**

accounting for other real estate; 4 CSR 140-2.070; 2/1/01, 7/2/01

financial subsidiaries; 4 CSR 140-2.138; 2/1/01, 7/2/01

trust representative offices; 4 CSR 140-6.085; 2/1/01, 7/2/01

**GAMING COMMISSION**

chip specifications; 11 CSR 45-5.100; 5/15/01, 9/17/01

commission records; 11 CSR 45-3.010; 6/15/01

compliance; 11 CSR 45-7.150; 4/2/01, 8/15/01

hours, nongambling; 11 CSR 45-7.130; 4/2/01, 8/15/01

liquor control; 11 CSR 45-12.090; 5/15/01, 9/17/01

access to liquor cabinet systems; 11 CSR 45-12.091; 5/15/01, 9/17/01

occupational license

application, fees; 11 CSR 45-4.380; 6/15/01

participation; 11 CSR 45-5.030; 4/2/01, 8/15/01

patrons, not eligible for winnings; 11 CSR 45-5.065; 2/1/01, 6/15/01

shipping, electronic gaming devices; 11 CSR 45-5.237; 5/15/01, 9/17/01

storage, retrieval; 11 CSR 45-7.080; 4/2/01, 8/15/01

surveillance

casino, commission room; 11 CSR 45-7.050; 4/2/01, 8/15/01

equipment, required; 11 CSR 45-7.030; 4/2/01, 8/15/01

required; 11 CSR 45-7.040; 4/2/01, 8/15/01

**GEOLOGIST REGISTRATION, MISSOURI BOARD OF**

fees; 4 CSR 145-1.040; 5/15/01, 9/4/01

**HAZARDOUS WASTE MANAGEMENT COMMISSION**

decision making procedures; 10 CSR 25-8.124; 3/1/01, 9/4/01

definitions, incorporations, confidential business information; 10 CSR 25-3.260; 3/1/01, 9/4/01

disposal sites, abandoned, uncontrolled; 10 CSR 25-10.010; 3/1/01, 9/4/01

facilities, standards

generators; 10 CSR 25-5.262; 3/1/01, 9/4/01

interim status; 10 CSR 25-7.265; 3/1/01, 9/4/01

management; 10 CSR 25-7.266; 3/1/01, 9/4/01

treatment, storage, disposal; 10 CSR 25-7.264; 3/1/01, 9/4/01

fees, taxes; 10 CSR 25-12.010; 3/1/01, 9/4/01

land disposal restrictions; 10 CSR 25-7.268; 3/1/01, 9/4/01

methods for identifying hazardous waste; 10 CSR 25-4.261; 3/1/01, 9/4/01

organization; 10 CSR 25-1.010; 3/1/01, 9/4/01

permit programs; 10 CSR 25-7.270; 3/1/01, 9/4/01

polychlorinated biphenyls; 10 CSR 25-13.010; 3/1/01, 9/4/01

resource recovery processes; 10 CSR 25-9.020; 3/1/01, 9/4/01

universal waste management; 10 CSR 25-16.273; 3/1/01, 9/4/01

used oil, recycled; 10 CSR 25-11.279; 3/1/01, 9/4/01

voluntary cleanup program; 10 CSR 25-15.010; 3/1/01, 9/4/01

**HEARING INSTRUMENT SPECIALISTS**

continuing education; 4 CSR 165-2.050; 9/4/01

fees; 4 CSR 165-1.020; 9/4/01

license renewal; 4 CSR 165-2.060; 9/4/01

**HIGHER EDUCATION**

proprietary schools; 6 CSR 10-5.010; 12/1/00, 3/15/01, 6/15/01

**HOSPICES**

direct care; 19 CSR 30-35.020; 2/15/01, 7/2/01

program operations; 19 CSR 30-35.010; 2/15/01, 7/2/01

reporting patient abstract data; 19 CSR 30-33.010; 4/2/01

state certification management; 19 CSR 30-35.030; 2/15/01, 7/2/01

**HOSPITALS AND AMBULATORY SURGICAL CENTERS**

administration; 19 CSR 30-20.015; 8/1/01  
definitions; 19 CSR 30-20.011; 8/1/01  
financial data; 19 CSR 10-33.030; 5/15/01, 9/4/01  
organization and management; 19 CSR 30-20.021; 8/1/01  
patient abstract data; 19 CSR 10-33.010; 4/2/01, 9/4/01  
reporting charges; 19 CSR 10-33.020; 5/15/01, 9/4/01

**IMMUNIZATIONS**

day care rules; 19 CSR 20-28.040; 2/15/01, 6/15/01

**INSURANCE, DEPARTMENT OF**

accounting standards and principles; 20 CSR 200-1.020;  
1/16/01, 6/1/01  
actuary; 20 CSR 200-1.110; 1/16/01, 6/1/01  
extended Missouri mutual companies; 20 CSR 200-12.020;  
7/16/01  
financial regulation; 20 CSR 500-10.200; 1/16/01, 6/1/01  
financial standards  
health maintenance organizations; 20 CSR 200-1.040;  
1/16/01, 6/1/01  
prepaid dental plans; 20 CSR 200-1.050; 1/16/01, 6/1/01  
financial statement, diskette filing; 20 CSR 200-1.030; 7/16/01  
foreign insurers, certificate; 20 CSR 200-17.200; 240-122.080;  
7/16/01  
holding company system, forms; 20 CSR 200-11.101; 7/16/01  
material transactions, affiliates; 20 CSR 200-11.120; 7/16/01  
medical malpractice award; 20 CSR; 3/1/00, 3/1/01  
privacy of financial information; 20 CSR 100-6.100; 7/16/01,  
10/1/01  
procedure for forming a domestic company; 20 CSR 200-17.100;  
7/16/01  
redomestication; 20 CSR 200-17.300; 7/16/01  
referenced or adopted materials; 20 CSR 10-1.020; 1/16/01,  
6/1/01  
sovereign immunity limits; 20 CSR; 3/15/00, 1/2/01  
valuation, minimum standards; 20 CSR 200-1.140; 1/16/01,  
6/1/01  
universal life; 20 CSR 400-1.100; 4/2/01, 8/15/01

**LAND RECLAMATION**

industrial mineral open pit, in-stream sand and gravel operations  
performance requirements; 10 CSR 40-10.050; 9/17/01  
permit application; 10 CSR 40-10.020; 9/17/01

**LIVESTOCK**

price reporting, purchases by packers; 2 CSR 10-5.010; 7/2/01

**MARITAL AND FAMILY THERAPISTS, STATE COMMITTEE OF**

educational requirements; 4 CSR 233-2.010; 7/2/01  
examination; 4 CSR 233-2.040; 7/2/01  
experience, supervised; 4 CSR 233-2.020; 7/2/01  
fees; 4 CSR 233-1.040; 7/2/01  
supervisors; 4 CSR 233-2.021; 7/2/01

**MEDICAL SERVICES, DIVISION OF**

uninsured parents' health insurance; 13 CSR 70-4.090; 5/1/01,  
9/4/01

**MEDICAID**

cost reports; 13 CSR 70-15.010; 5/1/01, 8/15/01  
drugs  
31 day supply maximum; 13 CSR 70-20.045; 12/15/00,  
5/15/01  
enhancement pools; 13 CSR 70-15.150; 5/1/01, 8/15/01  
federal reimbursement allowance; 13 CSR 70-15.110; 7/2/01

hospices services; 13 CSR 70-50.010; 10/1/01  
nursing facilities; 13 CSR 70-10.110; 10/1/01  
trend indices; 13 CSR 70-15.010; 10/1/01  
settlements; 13 CSR 70-15.040; 10/1/01

**MENTAL HEALTH, DEPARTMENT OF**

administration; 9 CSR 30-4.032; 4/2/01, 9/4/01  
alcohol and drug abuse programs  
accessibility; 9 CSR 30-3.950; 4/2/01, 9/4/01  
administration; 9 CSR 30-3.730 (changed to 9 CSR 30-3.202); 4/2/01  
adolescent  
program; 9 CSR 30-3.510; 4/2/01, 9/4/01  
residential support; 9 CSR 30-3.853; 4/2/01, 9/4/01  
behavior management; 9 CSR 30-3.870; 4/2/01, 9/4/01  
central intake program; 9 CSR 30-3.621; 4/2/01, 9/4/01  
certification; 9 CSR 30-3.032; 4/2/01, 9/4/01  
client rights; 9 CSR 30-3.040, 9 CSR 30-3.900; 4/2/01,  
9/4/01  
clients' records; 9 CSR 30-3.210, 9 CSR 30-3.770, 9 CSR 30-3.880; 4/2/01, 9/4/01  
comprehensive substance treatment and rehabilitation;  
9 CSR 30-3.150; 4/2/01, 9/4/01  
curriculum, training; 9 CSR 30-3.780; 4/2/01, 9/4/01  
definitions; 9 CSR 30-3.010, 9 CSR 30-3.710, 9 CSR 30-3.810; 4/2/01, 9/4/01  
detoxification; 9 CSR 30-3.120; 4/2/01, 9/4/01  
medical; 9 CSR 30-3.420; 4/2/01, 9/4/01  
modified medical; 9 CSR 30-3.410; 4/2/01, 9/4/01  
social setting; 9 CSR 30-3.400; 4/2/01, 9/4/01  
dietary services; 9 CSR 30-3.250, 9 CSR 30-3.960; 4/2/01,  
9/4/01  
educational assessment, community treatment; 9 CSR 30-3.800 (changed to 9 CSR 30-3.230); 4/2/01  
environment; 9 CSR 30-3.060, 9 CSR 30-3.740; 4/2/01,  
9/4/01  
safety, sanitation; 9 CSR 30-3.940; 4/2/01, 9/4/01  
fee, supplemental; 9 CSR 30-3.790 (changed to 9 CSR 30-3.208); 4/2/01  
fiscal management; 9 CSR 30-3.070, 9 CSR 30-3.930;  
4/2/01, 9/4/01  
governing authority; 9 CSR 30-3.030, 9 CSR 30-3.920;  
4/2/01, 9/4/01  
information and referral; 9 CSR 30-3.620; 4/2/01, 9/4/01  
institutional corrections treatment programs; 9 CSR 30-3.160; 4/2/01, 9/4/01  
medication; 9 CSR 30-3.240; 4/2/01, 9/4/01  
management; 9 CSR 30-3.970; 4/2/01, 9/4/01  
methadone treatment; 9 CSR 30-3.132; 4/2/01, 9/4/01  
outpatient program; 9 CSR 30-3.600; 4/2/01, 9/4/01  
outpatient treatment; 9 CSR 30-3.130; 4/2/01, 9/4/01  
personnel; 9 CSR 30-3.750 (changed to 9 CSR 30-3.204);  
4/2/01; 9 CSR 30-3.080, 9 CSR 30-3.890; 4/2/01,  
9/4/01  
planning and evaluation; 9 CSR 30-3.050; 4/2/01, 9/4/01  
prevention programs; 9 CSR 30-3.300; 4/2/01, 9/4/01  
procedures to obtain certification; 9 CSR 30-3.020, 9 CSR 30-3.720, 9 CSR 30-3.820; 4/2/01, 9/4/01  
program structure; 9 CSR 30-3.760 (changed to 9 CSR 30-3.206); 4/2/01  
quality assurance; 9 CSR 30-3.860; 4/2/01, 9/4/01  
referral procedures; 9 CSR 30-3.220; 4/2/01, 9/4/01  
research; 9 CSR 30-3.200, 9 CSR 30-3.910; 4/2/01, 9/4/01  
residential programs; 9 CSR 30-3.500; 4/2/01, 9/4/01  
residential treatment; 9 CSR 30-3.140; 4/2/01, 9/4/01  
service definitions; 9 CSR 30-3.110; 4/2/01, 9/4/01  
service delivery process and documentation; 9 CSR 30-3.100; 4/2/01, 9/4/01

service provision; 9 CSR 30-3.850; 4/2/01, 9/4/01  
specialized programs  
  adolescents; 9 CSR 30-3.192, 9 CSR 30-3.852;  
    4/2/01, 9/4/01  
  women and children; 9 CSR 30-3.190, 9 CSR 30-  
    3.851; 4/2/01, 9/4/01  
transition to enhanced standards of care; 9 CSR 30-3.022;  
  4/2/01, 9/4/01  
treatment, rehabilitation process; 9 CSR 30-3.840; 4/2/01,  
  9/4/01  
behavior management; 9 CSR 30-4.044; 4/2/01, 9/4/01  
certification, centers; 9 CSR 30-4.031; 4/2/01, 9/4/01  
client environment; 9 CSR 30-4.037; 4/2/01, 9/4/01  
client records; 9 CSR 30-4.035, 9 CSR 30-4.160; 4/2/01, 9/4/01  
client rights; 9 CSR 30-4.038, 9 CSR 30-4.110; 4/2/01, 9/4/01  
compulsive gambling treatment; 9 CSR 30-3.134; 4/2/01, 9/4/01  
comprehensive substance treatment rehabilitation program  
  description; 9 CSR 30-3.830; 4/2/01, 9/4/01  
  definitions; 9 CSR 30-4.010; 4/2/01, 9/4/01  
  certification standards; 9 CSR 30-4.030; 4/2/01, 9/4/01  
educational assessment, community treatment program;  
  9 CSR 30-3.230; 4/2/01, 9/4/01  
environment; 9 CSR 30-4.120; 4/2/01, 9/4/01  
exceptions committee; 9 CSR 10-5.210; 4/2/01, 8/1/01  
fiscal management; 9 CSR 30-4.033, 9 CSR 30-4.130; 4/2/01,  
  9/4/01  
governing authority; 9 CSR 30-4.100; 4/2/01, 9/4/01  
medication; 9 CSR 30-4.180; 4/2/01, 9/4/01  
medication aides; 9 CSR 45-3.070; 2/1/01, 7/2/01  
medication procedures; 9 CSR 30-4.041; 4/2/01, 9/4/01  
personnel; 9 CSR 30-4.140; 4/2/01, 9/4/01  
  staff development; 9 CSR 30-4.034; 4/2/01, 9/4/01  
procedures to obtain certification; 9 CSR 30-4.020; 4/2/01,  
  9/4/01  
psychiatric and substance abuse programs  
  behavior management; 9 CSR 10-7.060; 4/2/01, 9/4/01  
  definitions; 9 CSR 10-7.140; 4/2/01, 9/4/01  
  dietary service; 9 CSR 10-7.080; 4/2/01, 9/4/01  
  fiscal management; 9 CSR 10-7.100; 4/2/01, 9/4/01  
  governing authority; 9 CSR 10-7.090; 4/2/01, 9/4/01  
  medication; 9 CSR 10-7.070; 4/2/01, 9/4/01  
  personnel; 9 CSR 10-7.110; 4/2/01, 9/4/01  
  physical plant and safety; 9 CSR 10-7.120; 4/2/01, 9/4/01  
  procedures to obtain certification; 9 CSR 10-7.130; 4/2/01,  
    9/4/01  
  quality improvement; 9 CSR 10-7.040; 4/2/01, 9/4/01  
  research; 9 CSR 10-7.050; 4/2/01, 9/4/01  
  rights, responsibilities, grievances; 9 CSR 10-7.020; 4/2/01,  
    9/4/01  
  service delivery process, documentation; 9 CSR 10-7.030;  
    4/2/01, 9/4/01  
  treatment principles; 9 CSR 10-7.010; 4/2/01, 9/4/01  
purchasing client services; 9 CSR 25-2.105; 12/1/00, 4/2/01  
quality assurance; 9 CSR 30-4.040; 4/2/01, 9/4/01  
referral procedures; 9 CSR 30-4.170; 4/2/01, 9/4/01  
research; 9 CSR 30-4.036, 9 CSR 30-4.150; 4/2/01, 9/4/01  
residential programs; 9 CSR 30-3.500; 4/2/01, 9/4/01  
service provision; 9 CSR 30-4.039; 4/2/01, 9/4/01  
substance abuse traffic offender programs (SATOP); 9 CSR  
  30-3.700, 9 CSR 30-3.201; 4/2/01, 9/4/01  
  administration and service; 9 CSR 30-3.202; 4/2/01, 9/4/01  
  personnel; 9 CSR 30-3.204; 4/2/01, 9/4/01  
  program structure; 9 CSR 30-3.206; 4/2/01, 9/4/01  
  supplemental fee; 9 CSR 30-3.208; 4/2/01, 9/4/01  
treatment; 9 CSR 30-4.043, 9 CSR 30-4.190; 4/2/01, 9/4/01  
treatment provided, psychiatric; 9 CSR 30-4.043; 4/2/01, 9/4/01

**MILK BOARD, STATE**

inspection fees; 2 CSR 80-5.010; 5/1/01, 8/15/01

**MOTOR VEHICLE**

glazing, glass; 11 CSR 50-2.270; 9/17/01  
hearings; 12 CSR 10-25.030; 2/1/01, 6/1/01  
Internet renewal of license plates; 12 CSR 10-23.452; 7/16/01  
MVI-2 form; 11 CSR 50-2.120; 9/17/01  
inspection station requirements; 11 CSR 50-2.020; 9/17/01  
window tinting; 11 CSR 30-7.010; 9/17/01

**NEWBORN HEARING SCREENING PROGRAM**

definitions; 19 CSR 40-9.010; 9/4/01  
information reported to department; 19 CSR 40-9.040; 9/4/01  
methodologies; 19 CSR 40-9.020; 9/4/01

**NURSING HOME ADMINISTRATORS**

cumulative point-value system; 13 CSR 73-2.041; 6/1/01,  
  10/1/01  
licensure; 13 CSR 73-2.020; 6/1/01, 10/1/01

**NURSING HOME PROGRAM**

enhancement pools; 13 CSR 70-10.150; 8/1/01  
nonstate-operated facilities; 13 CSR 70-10.030; 7/2/01  
reimbursement; 13 CSR 70-10.015; 9/17/01

**NURSING, STATE BOARD OF**

fees; 4 CSR 200-4.010; 1/16/01, 5/1/01

**OCCUPATIONAL THERAPY, MISSOURI BOARD OF  
supervision**

assistants, permit holders; 4 CSR 205-4.010, 4 CSR 205-  
  4.020; 4/16/01, 8/1/01

**PERFUSIONISTS, LICENSING OF CLINICAL**

fees; 4 CSR 150-8.060; 5/15/01, 9/4/01

**PHARMACY, STATE BOARD OF**

drug distributor licensing; 4 CSR 220-5.020; 5/15/01, 10/1/01  
fees; 4 CSR 220-4.010; 4/2/01, 8/1/01  
licensure by examination  
  nonapproved foreign schools; 4 CSR 220-2.032; 4/2/01,  
    8/1/01  
prescriptions  
  electronic transmission; 4 CSR 220-2.085; 5/15/01, 10/1/01  
return of drugs; 13 CSR 70-20.050; 1/16/01, 6/15/01  
standards of operation; 4 CSR 220-2.010; 9/4/01

**PHYSICIANS AND SURGEONS**

chelation therapy form; 4 CSR 150-2.165; 5/15/01, 9/4/01  
continuing medical education; 4 CSR 150-2.125; 5/15/01, 9/4/01  
fees; 4 CSR 150-2.080; 5/15/01, 9/4/01  
national interest waiver; 19 CSR 10-4.030; 4/16/01, 8/15/01  
penalty, annual registration; 4 CSR 150-2.050; 5/15/01, 9/4/01

**PLANT INDUSTRIES**

participation, fee payment, penalties; 2 CSR 70-13.030; 10/2/00,  
  5/1/01, 9/17/01

**PROFESSIONAL REGISTRATION, DIVISION OF**

renewal dates; 4 CSR 231-2.010; 4/2/01, 7/16/01

**PSYCHOLOGISTS, STATE COMMITTEE OF**

fees; 4 CSR 235-1.020; 4/2/01, 7/16/01  
licensure by examination; 4 CSR 235-2.060; 4/2/01, 7/16/01

**PUBLIC DRINKING WATER PROGRAM**

classification of water systems; 10 CSR 60-14.010; 12/15/00,  
  2/15/01, 6/1/01  
grants; 10 CSR 60-13.010; 3/1/01, 6/15/01, 8/15/01

lead and copper  
corrosion control  
    requirements; 10 CSR 60-15.030; 9/17/01  
    treatment; 10 CSR 60-15.020; 9/17/01  
monitoring; 10 CSR 60-7.020; 9/17/01  
    source water; 10 CSR 60-15.090; 9/17/01  
    supplemental; 10 CSR 60-15.060; 9/17/01  
    tap water; 10 CSR 60-15.070; 9/17/01  
    water quality parameters; 10 CSR 60-15.080; 9/17/01  
prohibition; 10 CSR 40-10.040; 9/17/01  
public education; 10 CSR 60-15.060; 9/17/01  
service line replacement; 10 CSR 60-15.050; 9/17/01  
operators  
    certification of; 10 CSR 60-14.020; 12/15/00, 2/15/01, 6/1/01  
    training; 10 CSR 60-14.030; 12/15/00, 6/1/01  
revolving fund loan program; 10 CSR 60-13.020; 3/1/01, 8/15/01  
state loan program; 10 CSR 60-13.025; 3/1/01, 8/15/01  
  
**PUBLIC SERVICE COMMISSION**  
electric service territorial agreements  
    fees; 4 CSR 240-21.010; 7/2/01  
new manufactured homes  
    code; 4 CSR 240-120.100; 6/1/01  
    dealer setup responsibilities; 4 CSR 240-120.065; 7/16/01  
    definitions; 4 CSR 240-120.011; 7/16/01  
    monthly reports; 4 CSR 240-120.130; 7/2/01  
modular units  
    approval, manufacturing program; 4 CSR; 240-123.040; 7/16/01  
    code; 4 CSR; 240-123.080; 7/16/01  
    dealer setup responsibilities; 4 CSR 240-123.065; 7/16/01  
    definitions; 4 CSR 240-123.010; 7/16/01  
    monthly reports; 4 CSR 240-123.070; 7/16/01  
    seals; 4 CSR; 240-123.030; 7/16/01  
pre-owned manufactured homes  
    administration, enforcement; 4 CSR 240-121.020; 6/1/01  
    complaints, review of director action; 4 CSR 240-121.060; 6/1/01  
    dealer setup responsibilities; 4 CSR 240-121.055; 7/16/01  
    definitions; 4 CSR 240-121.010; 6/1/01  
inspection  
    dealer books, records, inventory, premises; 4 CSR 240-121.040; 6/1/01  
    homes, rented, leased, sold by persons other than dealers; 4 CSR 240-121.050; 6/1/01  
    setup, proper and initial; 4 CSR 240-121.090; 6/1/01  
recreational vehicles  
    administration, enforcement; 4 CSR 240-122.020; 7/16/01  
    approval, manufacturing program; 4 CSR; 240-122.040; 7/16/01  
    code; 4 CSR; 240-122.080; 7/16/01  
    complaints; 4 CSR 240-122.090; 7/16/01  
    definitions; 4 CSR 240-122.010; 7/16/01  
inspection  
    dealers, books; 4 CSR 240-122.060; 7/16/01  
    manufacturer, books; 4 CSR 240-122.050; 7/16/01  
    vehicles; 4 CSR 240-122.070; 7/16/01  
    seals; 4 CSR; 240-122.030; 7/16/01  
telecommunications companies  
    customer disclosure requirements; 4 CSR 240-32.160; 2/1/01, 7/2/01  
    definitions; 4 CSR 240-32.140; 2/1/01, 7/2/01  
    prepaid interexchange calling services; 4 CSR 240-32.130; 2/1/01  
    qualifications, responsibilities; 4 CSR 240-32.150; 2/1/01, 7/2/01  
    standards; 4 CSR 240-32.170; 2/1/01, 7/2/01

telephone corporations, reporting  
    definitions; 4 CSR 240-35.010; 9/4/01  
    provisions; 4 CSR 240-35.020; 9/4/01  
    reporting of bypass, customer specific arrangements; 4 CSR 240-35.030; 9/4/01  
tie-down systems, manufactured homes  
    anchoring standards; 4 CSR 240-124.045; 7/16/01  
    approval; 4 CSR 240-124.040; 7/16/01  
    definitions; 4 CSR 240-124.010; 7/16/01  
utilities  
    income; 4 CSR 240-10.020; 9/4/01  
water service territorial agreements  
    fees; 4 CSR 240-51.010; 7/2/01

#### **RESPIRATORY CARE, MISSOURI BOARD FOR**

application for temporary  
    educational permit; 4 CSR 255-2.030; 3/1/01, 7/2/01  
    permit; 4 CSR 255-2.020; 3/1/01, 7/2/01  
continuing education; 4 CSR 255-4.010; 3/1/01, 7/2/01  
fees; 4 CSR 255-1.040; 4/16/01, 8/15/01  
inactive status; 4 CSR 255-2.050; 3/1/01, 7/2/01  
reinstatement; 4 CSR 255-2.060; 3/1/01, 7/2/01

#### **RETIREMENT SYSTEMS**

county employees' retirement fund  
    direct rollover option; 16 CSR 50-2.130; 8/15/01  
    eligibility for benefits; 16 CSR 50-2.030; 6/1/01, 10/1/01  
    eligibility, participation; 16 CSR 50-2.030; 6/1/01, 10/1/01  
    service and compensation; 16 CSR 50-2.050; 9/17/01  
nonteacher school employee  
    beneficiary; 16 CSR 10-6.090; 7/16/01  
    reinstatement, credit purchases; 16 CSR 10-6.045; 9/17/01  
public school retirement system  
    beneficiary; 16 CSR 10-5.030; 1/16/01, 5/1/01, 7/16/01  
    cost-of-living adjustments; 16 CSR 10-5.055; 9/17/01  
    excess benefit arrangement; 16 CSR 10-5.070; 9/17/01  
    payment of funds; 16 CSR 10-3.010; 5/15/01, 9/4/01  
    reinstatement and credit purchases; 16 CSR 10-4.012; 9/17/01

#### **SANITATION AND SAFETY STANDARDS**

lodging establishments; 19 CSR 20-3.050; 8/1/01

#### **SECURITIES HEARINGS**

answers and supplementary pleadings; 15 CSR 30-55.030; 7/2/01  
briefs; 15 CSR 30-55.110; 7/2/01  
discovery; 15 CSR 30-55.080; 7/2/01  
instituting hearing before commissioner; 15 CSR 30-55.020; 7/2/01  
motions, suggestions, legal briefs; 15 CSR 30-55.110; 7/2/01  
notice of hearing; 15 CSR 30-55.040; 7/2/01  
officers; 15 CSR 30-55.220; 7/2/01  
prehearing  
    conferences; 15 CSR 30-55.050; 7/2/01  
    procedures; 15 CSR 30-55.025; 7/2/01  
procedure and evidence; 15 CSR 30-55.090; 7/2/01  
record of hearing; 15 CSR 30-55.070; 7/2/01  
who may request; 15 CSR 30-55.010; 7/2/01

#### **SPEECH-LANGUAGE PATHOLOGISTS AND AUDIOLOGISTS**

fees; 4 CSR 150-4.060; 2/1/01, 6/15/01

#### **TAX, CITY SALES, TRANSPORTATION**

date of delivery; 12 CSR 10-5.005, 12 CSR 10-5.505; 5/1/01, 8/15/01  
layaways; 12 CSR 10-5.515; 5/1/01, 8/15/01  
location of machine; 12 CSR 10-5.025; 5/1/01, 8/15/01

**TAX, SALES/USE**

accrual basis reporting; 12 CSR 10-3.882; 5/15/01, 9/4/01  
agricultural products; 12 CSR 120-3.280; 5/15/01, 9/4/01  
annual filing; 12 CSR 10-3.462; 5/1/01, 8/15/01  
barber, beauty shops; 12 CSR 10-3.100; 5/1/01, 8/15/01  
bookbinders, papercutters; 12 CSR 10-3.086; 5/1/01, 8/15/01  
bottle caps and crowns; 12 CSR 10-3.206; 5/1/01, 8/15/01  
calendar quarter defined; 12 CSR 10-3.456; 5/1/01, 8/15/01  
cash and trade discounts; 12 CSR 10-3.022; 5/1/01, 8/15/01  
common carriers; 12 CSR 10-110.300; 3/1/01, 7/2/01  
consideration other than money; 12 CSR 10-3.136; 5/1/01, 8/15/01  
    except trade-ins; 12 CSR 10-3.122; 5/1/01, 8/15/01  
    less than fair market value; 12 CSR 10-3.138; 5/1/01, 8/15/01  
crates, cartons; 12 CSR 10-3.208; 5/1/01, 8/15/01  
decorators, interior, exterior; 12 CSR 10-3.094; 5/1/01, 8/15/01  
defective merchandise; 12 CSR 10-3.494; 5/1/01, 8/15/01  
delivery, freight, transportation charges; 12 CSR 10-3.066; 5/1/01, 8/15/01  
electrical energy; 12 CSR 10-110.600; 9/4/01  
exempt organizations; 12 CSR 10-110.955; 9/4/01  
finance charges; 12 CSR 10-3.020; 5/1/01, 8/15/01  
funeral receipts; 12 CSR 10-3.160; 5/1/01, 8/15/01  
installment sales, reposessions; 12 CSR 10-3.164; 5/1/01, 8/15/01  
janitorial services; 12 CSR 10-3.096; 5/1/01, 8/15/01  
mailing of returns; 12 CSR 10-3.452; 5/1/01, 8/15/01  
manufactured homes; 12 CSR 10-103.370; 3/1/01, 6/15/01  
memorial stones; 12 CSR 10-3.060; 5/1/01, 8/15/01  
no return, no excuse; 12 CSR 10-3.454; 5/1/01, 8/15/01  
painters; 12 CSR 10-3.092; 5/1/01, 8/15/01  
pallets; 12 CSR 10-3.202; 5/1/01, 8/15/01  
program fees; 12 CSR 10-3.890; 5/1/01, 8/15/01  
rebates; 12 CSR 10-3.023; 5/1/01, 8/15/01  
returned goods; 12 CSR 10-3.024; 5/1/01, 8/15/01  
return required; 12 CSR 10-3.460; 5/1/01, 8/15/01  
salvage companies; 12 CSR 10-3.128; 5/1/01, 8/15/01  
stolen or destroyed property; 12 CSR 10-3.174; 5/1/01, 8/15/01  
tax includes; 12 CSR 10-3.464; 5/1/01, 8/15/01  
trade-ins; 12 CSR 10-3.244; 5/1/01, 8/15/01  
used car dealers; 12 CSR 10-3.076; 5/1/01, 8/15/01  
warehousemen; 12 CSR 10-3.054; 11/15/00, 3/1/01  
watch, jewelry repairers; 12 CSR 10-3.090; 11/15/00, 3/1/01  
wrapping materials; 12 CSR 10-3.200; 5/1/01, 8/15/01

**TAX, STATE USE**

common carriers; 12 CSR 10-110.300; 3/1/01  
defective merchandise; 12 CSR 10-4.270; 5/1/01, 8/15/01

**TELEPHONE EQUIPMENT PROGRAM**

adaptive telephone equipment; 8 CSR 5-1.010; 7/2/01

**UNEMPLOYMENT INSURANCE**

joint accounts; 8 CSR 10-4.080; 2/1/01, 6/1/01

**VETERINARY, MISSOURI MEDICAL BOARD**

continuing education; 4 CSR 270-4.050; 5/15/01, 9/4/01  
    minimum standards; 4 CSR 270-4.042; 5/15/01, 9/4/01  
educational requirements; 4 CSR 270-2.011; 5/15/01, 9/4/01  
examinations; 4 CSR 270-3.020; 5/15/01, 9/4/01  
fees; 4 CSR 270-1.021; 5/15/01, 9/4/01  
internship; 4 CSR 270-2.021; 5/15/01, 9/4/01  
licensure  
    renewal; 4 CSR 270-1.050; 5/15/01, 9/4/01  
    restricted faculty; 4 CSR 270-2.052; 5/15/01, 9/4/01  
    temporary; 4 CSR 270-2.070, 4 CSR 270-2.071; 5/15/01, 9/4/01

organization; 4 CSR 270-1.011; 5/15/01, 9/4/01  
permits; 4 CSR 270-5.011; 5/15/01, 9/4/01  
reciprocity; 4 CSR 270-3.030; 5/15/01, 9/4/01  
registration, temporary; 4 CSR 270-3.040; 5/15/01, 9/4/01  
renewal procedures; 4 CSR 270-1.050; 5/15/01, 9/4/01  
revocation of temporary license; 4 CSR 270-7.020; 5/15/01, 9/4/01  
supervision; 4 CSR 270-4.060; 5/15/01, 9/4/01

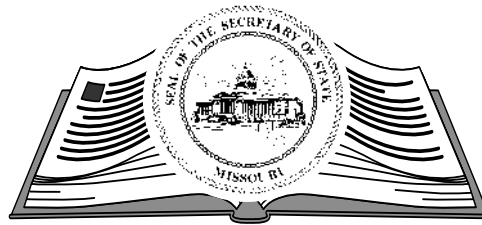
**WEIGHTS AND MEASURES**

moisture-measuring devices, plant products; 2 CSR 90-50.010; 6/1/01, 9/17/01  
NBS Handbook 44; 2 CSR 90-40.010; 6/1/01, 9/17/01

**WELL CONSTRUCTION CODE**

sensitive areas; 10 CSR 23-3.100; 6/1/01

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